



**Department
of Health**

NYS All Payer Database 2019 Stakeholder Meeting

October 16, 2019

Empire State Plaza, Albany, New York

Today's Agenda

Welcome and Purpose of Meeting

Opening Remarks

All Payer Database Update

Overview of the OSDS Project

Lunch and Networking

OSDS Technical Sessions

Closing Remarks

Meeting Materials

- ✓ Information Sheet
- ✓ PowerPoint Slide Deck
- ✓ Speaker Biographies
- ✓ Attending Organizations
- ✓ Index Comment Cards

<https://nyshc.health.ny.gov/web/nyapd/stakeholder-meetings>



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Purpose of the Annual Stakeholder Meeting

- Bring together internal and external stakeholders of the NYS APD for an update on:
 - Progress
 - Current status
 - Future plans
- Elicit feedback and engagement from participants



Who's here today?

- Consumers
- Researchers
- Academics
- Organizations
- Issuers
- Vendors
- Government

Please refer to “Attending Organizations” for a detailed list of who registered for today’s forum.

Meeting Logistics and Reminders

- There is a 1 hour break for lunch and networking
- Please silence cell phones and electronic devices
- Please limit side conversations during presentations
- Phone lines will be muted throughout today's meeting
- If WebEx participants have any difficulty hearing today's presenters, please use the Chat function to let organizers know

All Feedback Welcome!

- Index cards are available on the tables for written feedback
- Please add cards to the designated wall area
- WebEx attendees can submit feedback via the Chat function



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Opening Remarks

Anne Schettine, Director

Office of Quality and Patient Safety



**Department
of Health**

All Payer Database Project Update

All Payer Data System: At a Glance

The All Payer Data (APD) system facilitates a new era of cutting-edge population health research in New York State to achieve better care for patients, lower costs, and healthier communities.

Focusing on New Yorkers

The APD system will be the **most complete set of data about New Yorkers**, accelerating understanding of population health.



Exploring Variation in Health Care

New York is diverse in population, providers, and geography. The APD system will provide **data driven findings on variations in patient outcomes, utilization, price, quality, and safety.**



Improving the Quality of Patient Care

Providing high-quality, patient-centered, effective care improves health outcomes. The APD system **will provide quality score cards, evidence-based performance measures, and actionable information** to improve care.



Informing Consumers & Care Givers

Health care is changing rapidly and **New Yorkers need reliable information** to make choices right for them. The APD system will **power dashboards, infographics, and other tools** to support consumer empowerment.

All Payer Data System: At a Glance

The All Payer Data (APD) system facilitates a new era of cutting-edge population health research in New York State to achieve better care for patients, lower costs, and healthier communities.

Connected Data. Driving Transformation. Empowering Consumers.

15 Million
New Yorkers

The number of health care experiences captured each year.

1 Billion
Medical, Pharmacy,
Dental Claims

The volume and type of data collected each year.

600+ Quality Measures

Advanced analytics enables the APD to expand quality reporting.

500,000
users a year

Are empowered with information from HDNY, Health Profiles, & NYS Health Connector



Developing the Building Blocks

- Published APD regulations & guidance manual
- Approved by IRB as research system
- Held design & requirements sessions
- Build & testing phases
- Developed Master Indexes (Patient/Provider)
- Internal soft releases of APD Analytics Portal & Operational Data Store (ODS)
- Started data acquisition for Essential Plan (EP)

Realizing the Vision

- Collecting & integrate commercial data
- Expanding of DOH users
- Releasing additional functionality
- Expanding research agenda
- Expanding consumer tools
- Creating APD work groups

May
2016

2017

May
2018

Oct
2019

Nov
2020

Setting the Vision

- Selected data warehousing/analytic vendor
- Contract signed and executed
- Secured ACA grant, Medicaid matching, & state funding
- Held design & requirements sessions
- Started data acquisition for QHP

Strengthening the Core

- Launched APD public website
- Launched APD analytic portal (sign-in)
- Onboarded DOH users
- Matured Master Indexes (Patient/Provider)
- Release additional functionality

Aiming Higher

- Develop sustainability plan
- Integration with other data systems/sources



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All Payer Data (APD) System

Data Intake & Acquisition

1

Data Warehousing & Enrichment

2

Research & Analytics

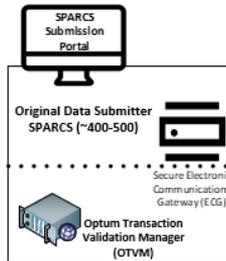
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Data Access, Release & Products

4

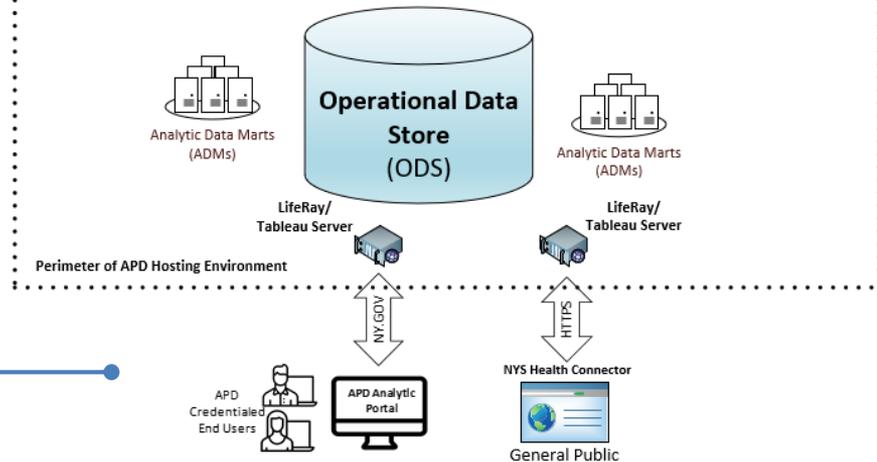
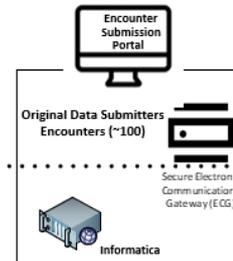
SPARCS Data Submission System

March 2018



Original Source Data Submitter (OSDS) System

May 2020



Main APD Components

1

Data Intake & Acquisition

Member Coverage

Issuer, Plan, &
Provider Data

Claims & Encounters

Hospital Discharge Data

Vital Event Data

Non Claim Based Data

2

Warehousing & Enrichment

Master Patient Index

Master Provider Index

Groupers: Symmetry;
AHRQ; 3M DRGs

Address Standardization &
Geocoding

Reference File Augmentation

3

Research & Analytics

Quality Measurement &
Patient Safety

Population Health

Service Utilization

Cost/Price Transparency

4

Data Access, Release & Products

APD Analytic Portal
(DOH staff)

NYS Health Connector
(publicly available)

Data Products (Research
Briefs, Benchmarks,
Research Findings)

Data Release Options

Data Intake & Acquisition

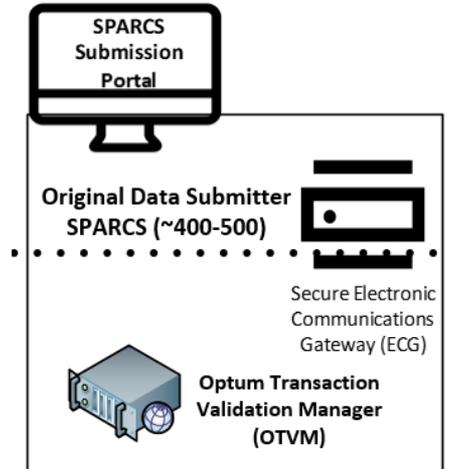
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SPARCS Data Submission System

Current State

(May 2018 – October 2019)

- SPARCS data submission system operational since March 2018
- 410 Article 28 facilities submitting data



Future State

(November 2019 – November 2020)

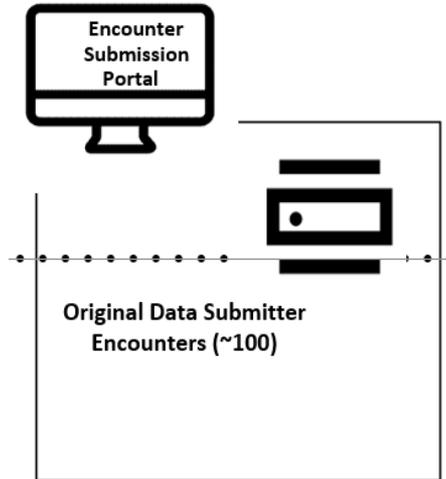
- Ensure submission compliance
- Identify and assist submitters experiencing barriers to submission
- Monitor data quality

Encounter Intake System (EIS) Submission

Current State

(May 2018 – October 2019)

- EIS submission has been in operation since 2015
- Approx. 50 insurers submitting data
- Lines of business include:
 - Medicaid Managed Care (MMC),
 - Qualified Health Plan (QHP),
 - Child Health Plus (CHP), and
 - Essential Plan (EP) encounters



Future State

(November 2019 – November 2020)

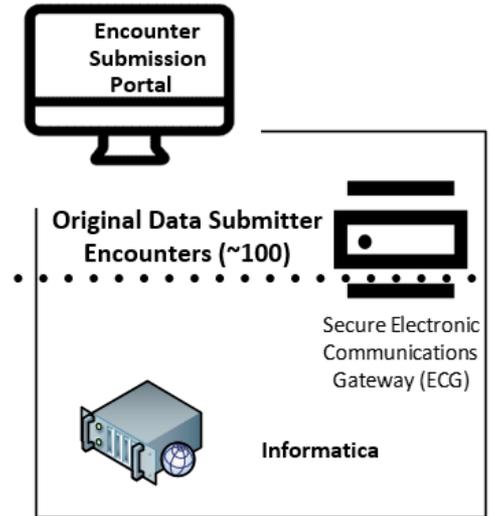
- Migration of EIS submitters to Original Source Data Submitter (OSDS) system for encounter data reporting

Original Source Data Submitter (OSDS) System

Current State

(May 2018 – October 2019)

- Project started September 2018
- Requirements gathering
- Convened stakeholder informational webinars and break-out sessions
- Published guidance material
- Conducted an Issuer readiness survey
- Completed security workbooks

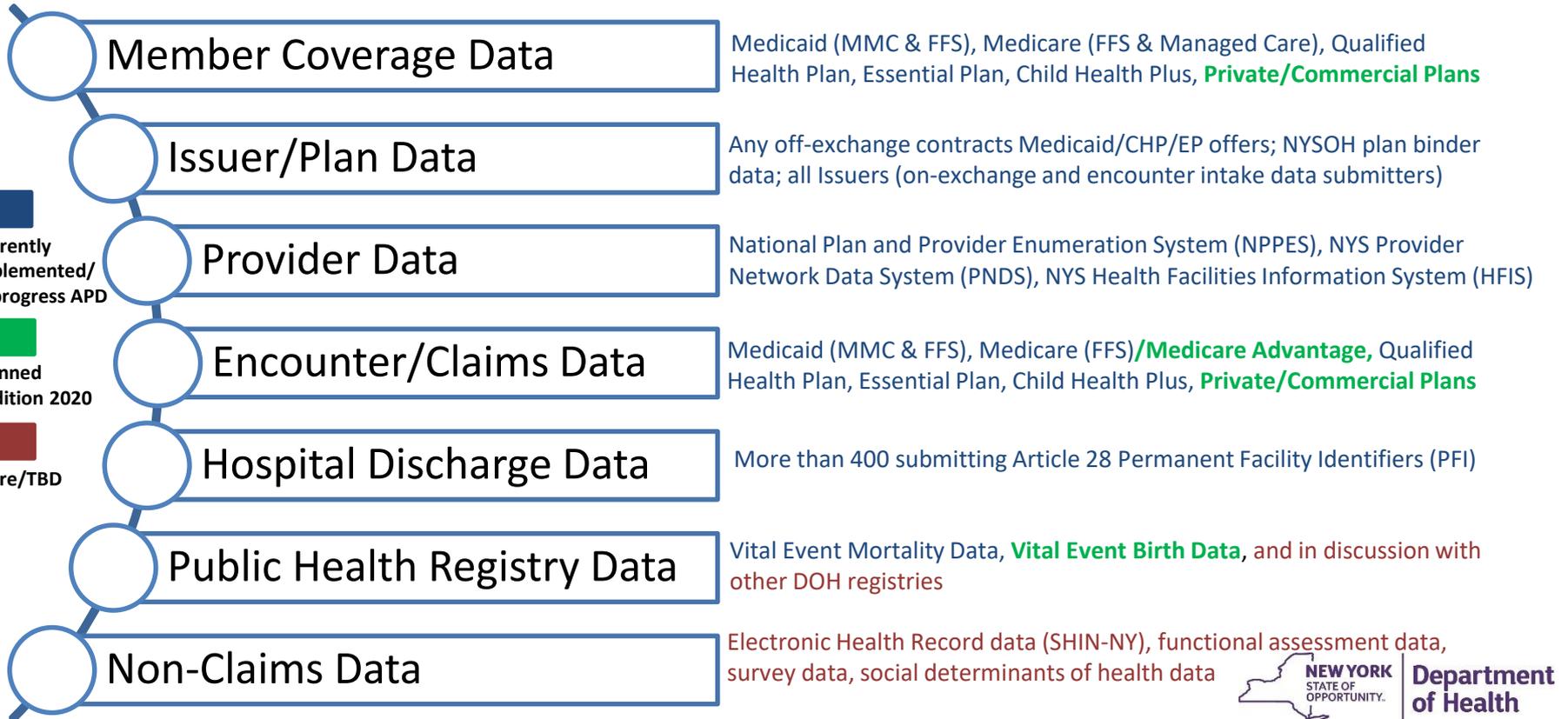


Future State

(November 2019 – November 2020)

- System Testing
- System Launch to Production
- Post-production monitoring

Connecting Data Over Time



Data Warehousing & Enrichment



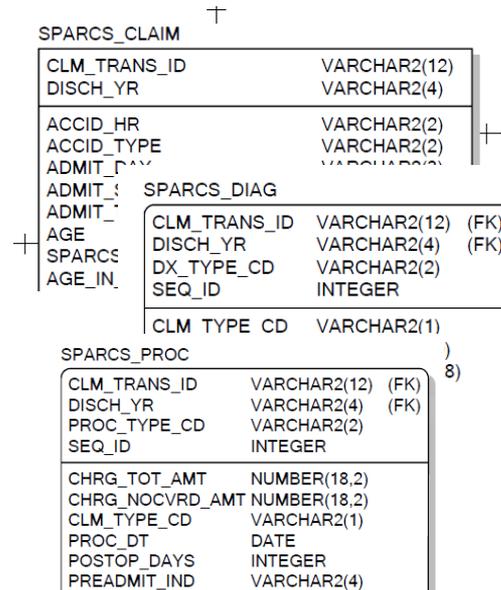
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SPARCS Data Model

Current State

(May 2018 – October 2019)

- SPARCS data model in operation since April 2018
- 14 table relational structure
- Known data defects are being addressed as part of data intake remediation plan (e.g., duplicate claims, active/inactive flags)



Future State

(November 2019 – November 2020)

Provides streamlined data enhancements and routines to support business needs

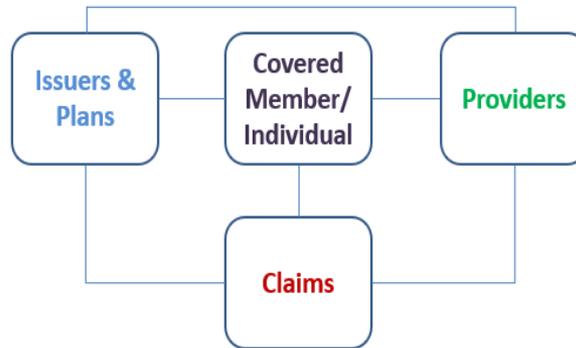
- Enhanced SPARCS/Vital Statistics linking
- Enhanced geocoding

Consolidated All Payer Data Model

Current State

(May 2018 – October 2019)

- Member Data (2014 to Q2 2018)
 - Medicaid, QHP, EP, CHP, Medicare, SPARCS, and VS Mortality Data
- Issuers/Plans (2014 to Q2 2018)
 - Medicaid, QHP, EP, CHP, and Medicare
- Claims (2014 to Q2 2018)
 - Medicaid, QHP, EP, and CHP
- Provider Data (2014-2016)
 - Medicaid, PNDS, NPPES, HFIS, and Licensure Data



Future State

(November 2019 – November 2020)

Broadens and refines representation of NYS population health through the addition of lines of business

- Bring all data current to 2019
- Integration of:
 - Medicare FFS claims, members, issuer/plan data
 - Commercial claims, members, issuer/plan data

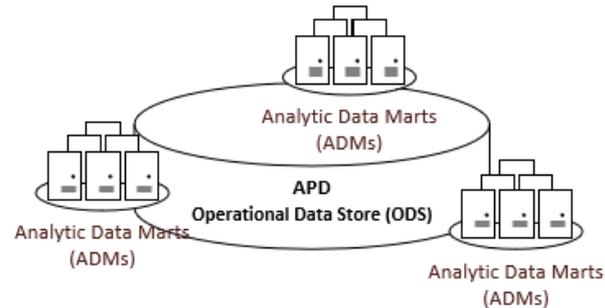
Analytic Data Marts (ADMs)

Current State

(May 2018 – October 2019)

Planning & Development

- Population Health ADM
- SPARCS ADM
- Perinatal Quality ADM
- Annual Quality ADM



Future State

(November 2019 – November 2020)

Simplifies access across DOH to data and analytics

- Population Health ADM
- SPARCS ADM
- Perinatal Quality ADM
- Annual Quality ADM

Data Enrichment – Master Data Management

Current State

(May 2018 – October 2019)

- **Current Member:**
 - Medicaid, CHP, EP, QHP, VS Mortality and Historic SPARCS data
- **Development Member:**
 - Medicare, SPARCS Modernization
- **Planning Member:**
 - OSDS 834 files
 - Perinatal Data
- **Current Providers:**
 - NPES, PNDS, Medicaid, HFIS, and Licensure
- **Development Providers:**
 - NYS Provider Directory

Estimated
15 million
New Yorkers represented
by June 2020



Estimated **10 to 11**
million New Yorkers
represented by
November 2019

Future State

(November 2019 – November 2020)

**Improves capability to
conduct longitudinal
analyses for population
health research**

- Medicare data integration
- SPARCS data integration
- Vital statistics birth and death integration
- Commercial data integration

Data Enrichment – Geocoding Standardization

Current State

(May 2018 – October 2019)

- Address standardization
- Geocoding at highest level
- Geographic attribution to align with security protocols
- Inclusion of shape files and geocoding supporting analysis at:
 - Zip Code
 - Regions
 - Counties
 - School Districts
 - Congressional Districts
 - Census Tracts
 - Block Group
 - Block



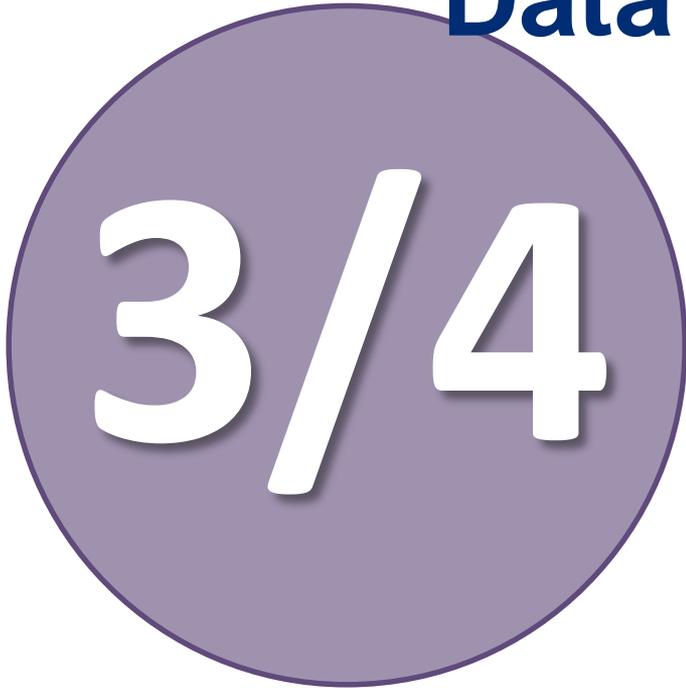
Future State

(November 2019 – November 2020)

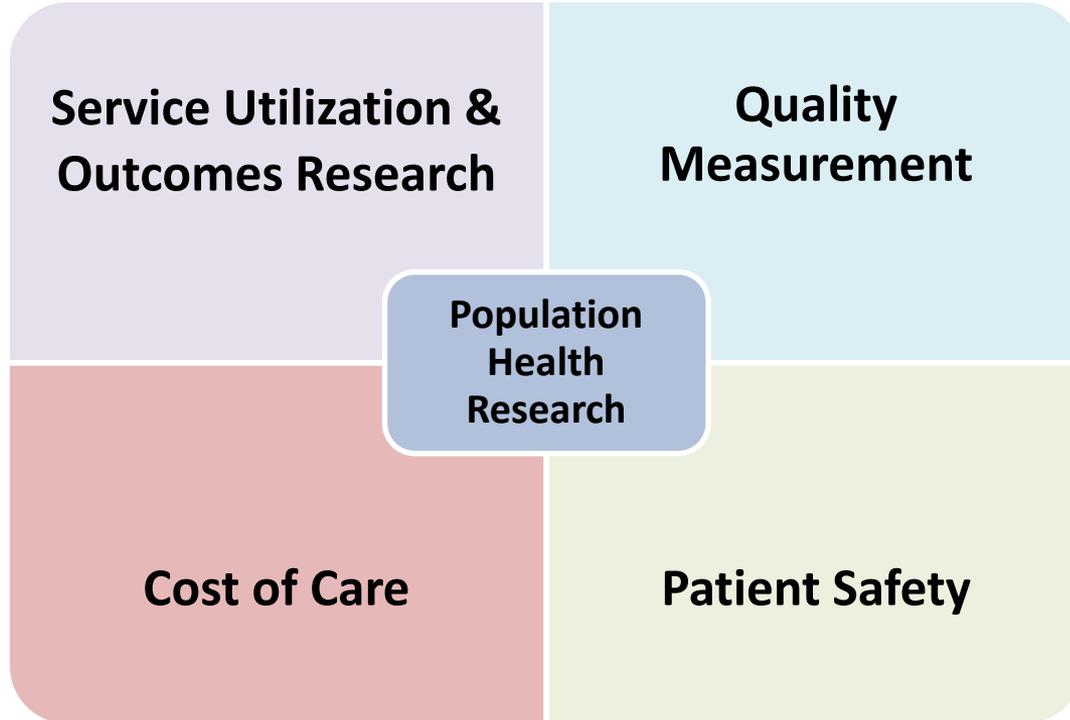
Improves identity protection, supports internal researchers population health research at a variety of geographic levels

- Geographic Attributes and Shape Files to support Public Health ADM
- Geocoding of Historic SPARCS data to align with APD standards
- Deployment of centroid level geocoding to further support analytics and visualizations

Analytics & Research / Data Access, Release & Products



Achieving Population Health



Data Enrichment – Grouper Application

Current State

(May 2018 – October 2019)

- Validation of Symmetry Suite
 - Refinement of All Payer Single Input File
 - Validation of EBM Connect with Medicaid DSRIP QM
 - Formed internal DOH workgroup on Episode Treatment Groups (ETGs)
- On load grouping of 3M DRGs and AHRQ CCS

ETG Base Class Code Permutations

ETG Number	Description
163000000	Diabetes, <i>w/o complication</i> , w/o comorbidity, w/o surgery
163000001	Diabetes, w/o complication, <i>w/o comorbidity</i> , with surgery
163000010	Diabetes, w/o complication, with comorbidity, <i>w/o surgery</i>

Category	APR DRG	MS-DRG
Data requirements	Diagnoses, procedures, age, sex, discharge status, <i>birth weight</i>	Diagnoses, procedures, age, sex, discharge status
MDCs	Pre-MDC and 25 MDCs	Pre-MDC and 25 MDCs
Number of base DRGs	1258 (314 base DRGs x 4 subclasses + 2 error DRGs)	751 (749 + 2 error DRGs)

Optum Symmetry Suite (EBM, ETG, ERGs)
 HCUP/AHRQ Clinical Classification Software (CCS)
 3M™ APR & MS Diagnosis Related Groups (DRGs)

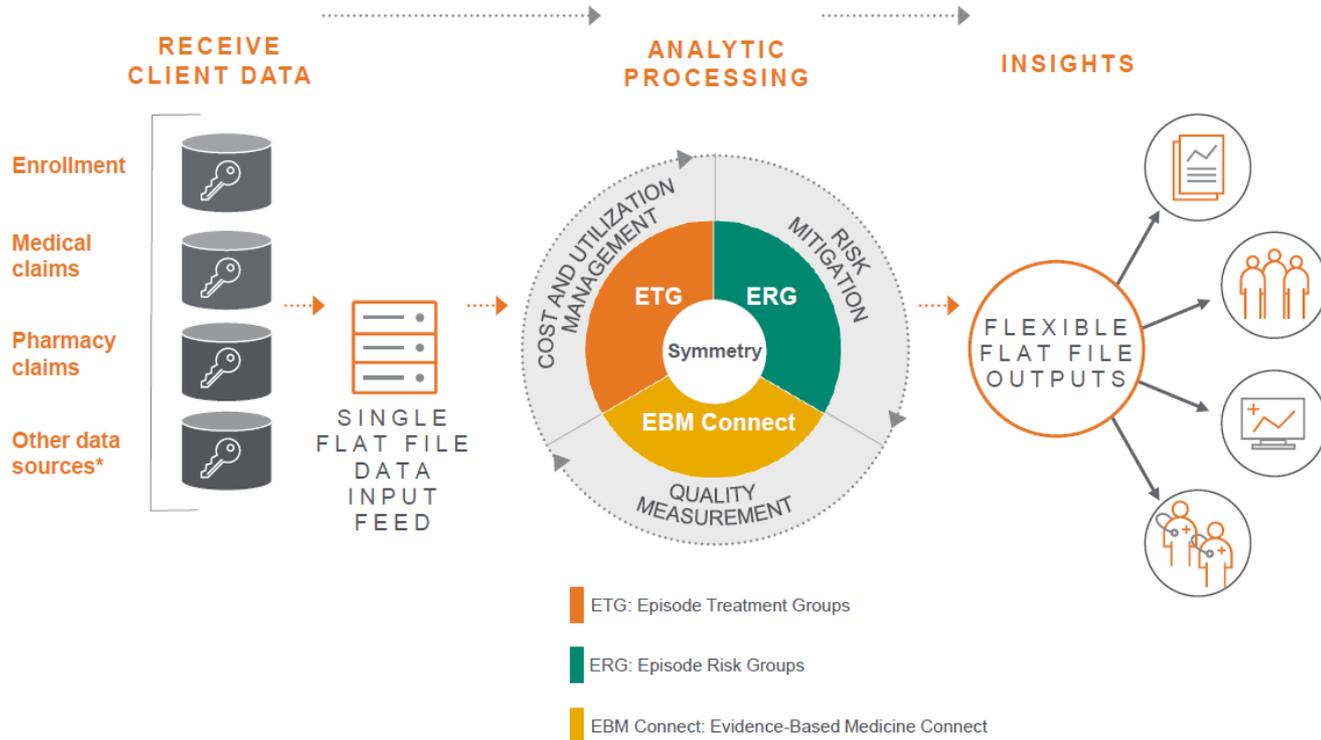
Future State

(November 2019 – November 2020)

Improves capability to access and connect quality measurement and risk scores to members, providers, claims

- Investigate new HCUP/AHRQ CCSR release
- DOH internal workgroup/ETGs

The Symmetry Suite in the NYS APD



*Other data sources can include labs, provider identifiers, etc.

Symmetry EBM

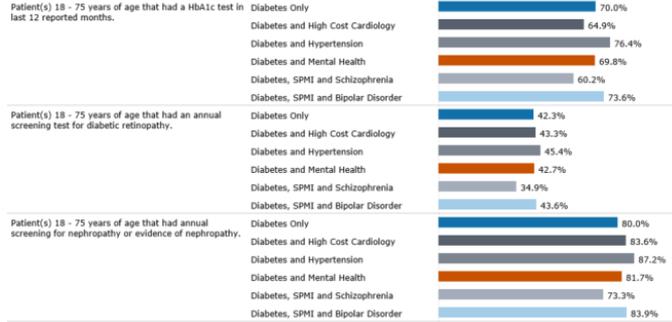
Evidence-Based Medicine Connect for Quality Measurement

Adherence to Evidence Based Medicine (CY 2016)

- Diabetes Only
- Diabetes and High Cost Cardiology
- Diabetes and Hypertension
- Diabetes and Mental Health
- Diabetes, SPMI and Schizophrenia
- Diabetes, SPMI and Bipolar Disorder

1 Benchmarks

Diabetes Care (National Standard)



Symmetry ERG

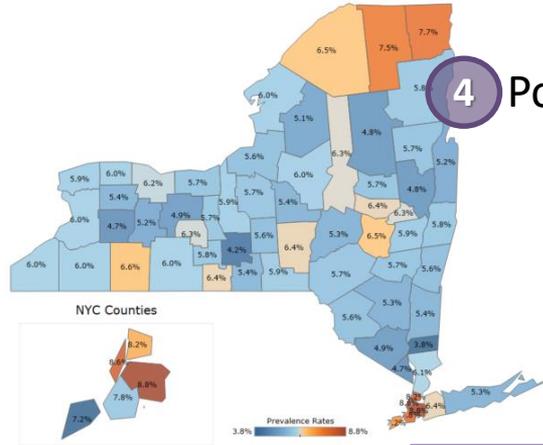
Episode Risk Groups for Risk Assessment & Mitigation

Risk Analysis for Members with Diabetes (CY 2016)

Population	Demographic Risk	Prospective Risk	Retrospective Risk	Actuarial Risk
Diabetes Only	1.8	3.4	3.2	3.5
Diabetes and High Cost Cardiology	2.2	6.5	6.7	6.5
Diabetes and Hypertension	2.8	3.1	2.8	3.2
Diabetes and Mental Health	1.9	4.9	4.9	4.8
Diabetes, SPMI and Schizophrenia	1.6	5.4	5.9	5.2
Diabetes, SPMI and Bipolar Disorder	1.6	4.9	4.9	4.9

Risk Groups

Prevalence by County - Diabetes (CY 2016)

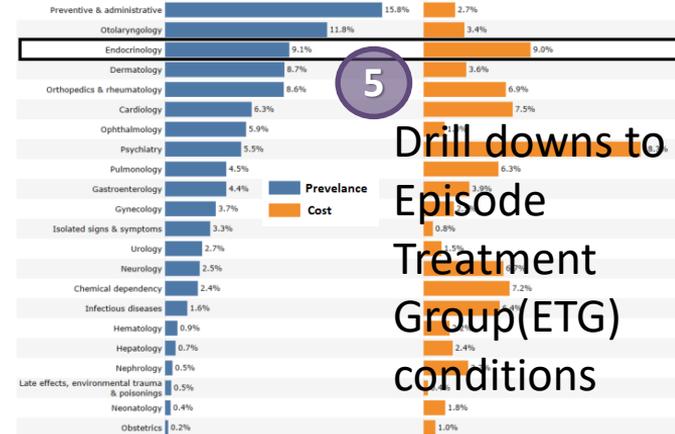


4 Population Health

Symmetry ETG

Episode Treatment Groups for Cost & Utilization Management

Episode Prevalence and Total Paid by Condition (CY2016)



5

Drill down to Episode Treatment Group(ETG) conditions

3 Predictive Modeling

Cost & Price Transparency

- APD has statutory authority to collect payment information
- Prior to public release of payment data, APD will conduct extensive quality control and validation
- Release of data must adhere to applicable state and federal laws, regulations, and policies

Payment Data Stored in the APD by APD Data Source

APD Data Source	Amount Allowed	Charge	Amount Paid	Co-insurance / Co-payment	Deductible	Sub-Capitated Proxy Payment
SPARCS		✓				
Medicare FFS		✓	✓	✓	✓	
Medicaid FFS	✓	✓	✓	✓	✓	
Medicaid & Child Health Plus		✓	✓	✓	✓	✓
Commercial		✓	✓	✓	✓	✓
Qualified Health Plan		✓	✓	✓	✓	✓
Essential Plan		✓	✓	✓	✓	✓

Notes: Amount Paid, Co-insurance/ Co-Payment and Deductible may all include other insurance Coordination of Benefits (COB). Facility submitted and audited Ratio of Cost to Charges (RCC) is applied to SPARCS charges to estimate facility costs.

Pharmacy payment information also includes ingredient costs and dispensing fees.

APD Analytic Portal



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NY.gov ID

Username:

Password:

Sign In

Forgot your [Username](#) or [Password](#)
[NY.gov ID - Terms of Service](#)



NEW YORK STATE Department of Health All Payer Database

APD Analytics

What's New

View Announcements

Dashboards

My Favorites

SPARCS

Vital Statistics

Quality Measurement

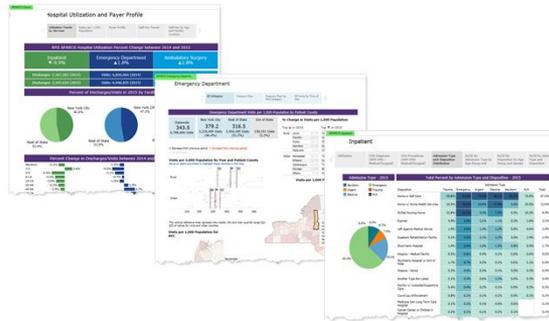
Department of Health

APD Analytic Portal

Current State

(May 2018 – October 2019)

- 50+ SPARCS & VS Tableau reports
- Training schedule
- Meta Data Manager
- Documentation



Future State

(November 2019 – November 2020)

Provides visualizations for a wider audience of DOH staff in support of business needs

- Annual Report Generator 2.0
- QHP specific data visualizations
- Quality measurement visualizations
- Perinatal quality visualizations

APD NYS Health Connector



Available Now

- Suicide and Self Harm
- Cost and Volume of Procedures
- ED Utilization
- Tracking the Flu
- Adolescent Obesity
- Measles Tracker

Next Releases

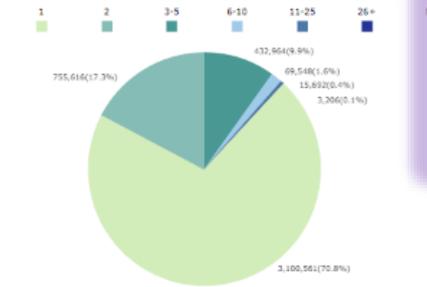
- Health Plan Quality Compare (11/19)
- Provider Directory (2/20)

Emergency Department Visits in New York State

How often did people visit the emergency department?

Total Annual Visits is the number of emergency department visits.

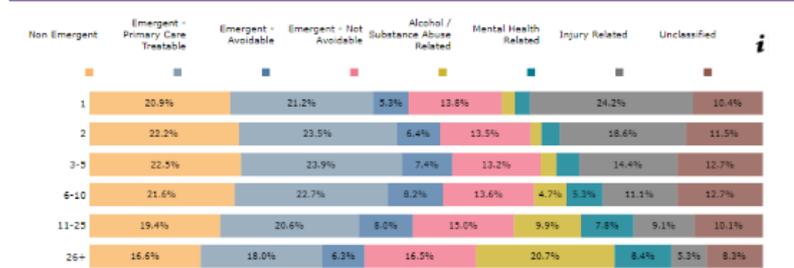
Unique Patients by Total Annual Visits



Total Annual Visits

	1	2	3-5	6-10	11-25	26+	Total Visits
Total Visits	3,100,561	1,511,232	1,523,012	496,322	230,512	160,674	7,022,312
% Total Visits	44.2%	21.5%	21.7%	7.1%	3.3%	2.3%	100.0%

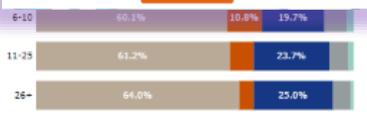
Emergency Department (ED) Category Visit % by Total Annual Visits



Preventable Emergency Department Visits

While it is not possible to eliminate every ED visit that could have been treated in a different setting, **New York State can move closer to achieving the triple aim of better care, higher quality, and lower costs by reducing just a fraction of these visits.** This dashboard includes calculations that estimate whether an ED visit for certain conditions could have been avoided with adequate access to care, care coordination, or patient monitoring.

[Read More](#)



The bar segments add up to 100% across payers for the Annual Visits.

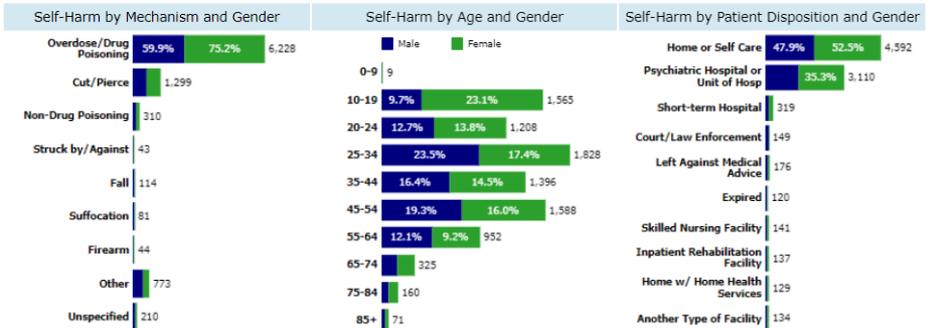
Suicide and Self-Harm

Statewide Hospitalizations and ED Visits due to Self-Harm, 2016

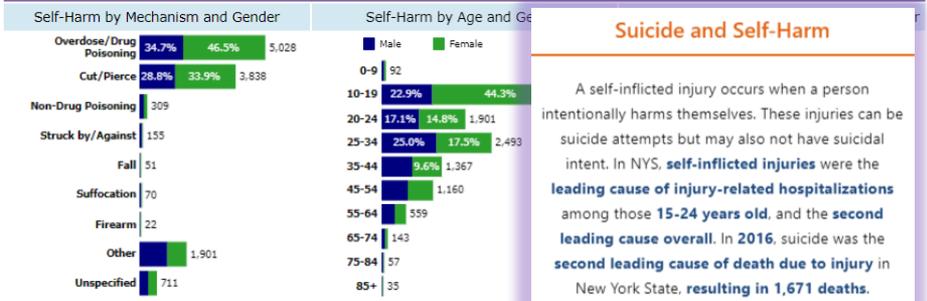
Hospitalizations: 9,102 (43.0%)
ED Visits: 12,085 (57.0%)



Hospitalizations



ED Visits



Suicide and Self-Harm

A self-inflicted injury occurs when a person intentionally harms themselves. These injuries can be suicide attempts but may also not have suicidal intent. In NYS, **self-inflicted injuries** were the **leading cause of injury-related hospitalizations** among those 15-24 years old, and the **second leading cause overall**. In 2016, suicide was the **second leading cause of death due to injury** in New York State, **resulting in 1,671 deaths**.

[Read More](#)

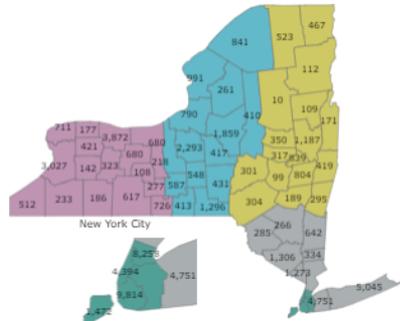
New York State Flu Tracker

Comparing influenza trends in New York State with past seasons

Cases or Case Rate/100,000 population Season (only for Map) Flu Type

Cases 2018-2019 (All)

Cases by County and Season to Date



Cases - Comparison by season

CDC Week	2015-2016	2016-2017	2017-2018	2018-2019
40	27	43	44	57
41	29	56	47	64
42	34	45	75	74
43	44	41	101	98
44	37	91	105	111
45	48	77	116	164
46	50	114	153	196
47	57	172	209	242
48	63	273	392	452
49	66	351	571	595
50	75	601	891	1,231
51	87	1,458	1,743	2,115
52	96	2,782	2,887	3,155
1	172	3,013	3,936	3,679
2	240	3,398	6,078	3,792
3	412	4,374	7,773	5,224
4	587	5,232	11,681	6,814
5	1,039	5,336	15,740	6,974
6	1,731	6,076	16,817	8,385
7	2,312	5,570	18,258	9,374
8	3,889	5,237	13,677	9,559
9	5,114	3,136	6,407	6,887
10	6,422	2,296	3,689	6,490
11	6,511	1,973	3,000	7,160
			2,708	
			3,168	
			2,284	
			1,798	
			1,391	
			1,050	
			769	
			457	
			232	

Cases - Trend by season and week



New York State Flu Tracker

Every year in the U.S., on average 5% to 20% of the population gets the flu. More than 200,000 people are hospitalized from flu complications.

This dashboard shows laboratory-confirmed cases of the flu across NYS. See counts and trends for this season and compare to other seasons.

[Read More](#)

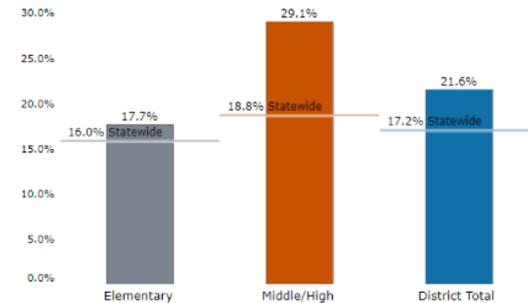
Student Weight Data Explorer

School District Profile

Step 1 Select a School District or Enter Name to Search Addison Central School District Step 2 Select Weight Status Category Percent Obese Step 3 Select Comparison Rate Statewide

Percentage of Addison Central School District Students with Obesity (2016-2018)

Bars Show District Rates Compared to Statewide Rates



Elementary School Students

17.7%

Compared to 16.0% for Statewide Elementary School Students Overall

Middle/High School Students

29.1%

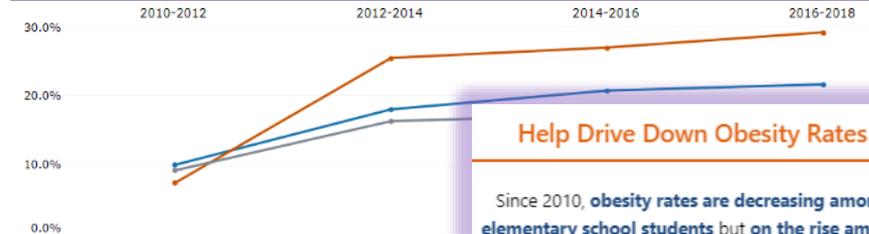
Compared to 18.8% for Statewide Middle/High School Students Overall

District Total

21.6%

Compared to 17.2% for Statewide District Overall

Percentage of Addison Central School District Students with Obesity over Time (2010-2018)



Help Drive Down Obesity Rates

Since 2010, obesity rates are decreasing among elementary school students but on the rise among middle and high school students. These visualizations show rates by school district, allow you to compare districts and counties, and see statewide and regional trends.

[Read More](#)

Measles Watch

Measles Activity by Week in New York State (excluding NYC)

Week Ending	Watch Area	Confirmed Cases As Of Week Ending	Confirmed Cases Since Outbreak Started	Hospitalizations Since Outbreak Started
09/28/2019	Statewide (excl: NYC)	0	424	30

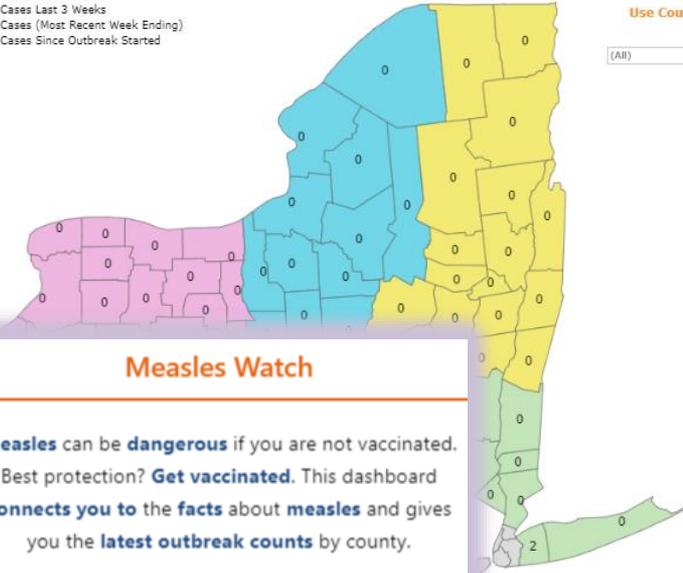
Select Timeframe for Map

- Confirmed Cases Last 6 Weeks
- Confirmed Cases Last 3 Weeks
- Confirmed Cases (Most Recent Week Ending)
- Confirmed Cases Since Outbreak Started

[Click for a Data Table of Measles Activity](#)

Use County Dropdown to Filter Data Table

(All)



Measles Watch

Measles can be **dangerous** if you are not vaccinated. Best protection? **Get vaccinated.** This dashboard connects you to the **facts** about measles and gives you the **latest outbreak counts** by county.

[Read More](#)

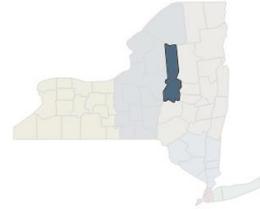
Commercial Health Plan Quality Comparison Tool

Scheduled for November 2019

Compare Health Plans

Step 1: Click a county to see a list of available health plans

- Region
- Central
- Hudson Valley
- Long Island
- Northeast
- NYC
- Western



Step 2: Ctrl-Click to select up to 3 health plans to compare

Healthkermer	Health Maintenance Organization (HMO)	CDPHP
		Excelsus BlueCross BlueShield
		MVP Health Care
Preferred Provider Organization (PPO)		Aetna Life Insurance Company - New York
		CDPHP Universal Benefits Inc.
		GHI (EmblemHealth)
		MVP Preferred PPO
		UnitedHealthCare Insurance Company of New York Inc.

GHI (Emblem Health)

Overall Rating

1 out of 5



Preferred Provider Organization (PPO)

1-800-624-2414

www.emblemhealth.com

MVP Preferred PPO

Overall Rating

3 out of 5



Preferred Provider Organization (PPO)

1-888-687-6277

www.mvp.com

UnitedHealthCare Insurance Company of New York Inc.

Overall Rating

4 out of 5



Preferred Provider Organization (PPO)

1-866-633-2446

Step 3: Select a Quality Category **i**
Preventive and Well-Care for Adults and Children

You can see how a health plan is important to you.

Quality Category	GHI (EmblemHealth)
Adult Care	2 out of 5
Child and Adolescent Care	1 out of 5
Maternal Health	1 out of 5
Women's Preventive Care	2 out of 5

How are NYS Health Plans Performing?

Each year, millions of New Yorkers are offered health insurance plan options through their employer. Employees are presented with choices of health plans. How well the health plan performed is important in decision-making.

This dashboard shows health plan overall performance and lets you compare plans.

[Read More](#)

APD Innovation Areas

Consumer Empowerment

- Will allow New Yorkers to find relevant health information more easily using plain language searches
- Will support answering questions or directing consumers to reliable information on a range of topics:
 - price, quality, networks, for doctors, hospitals, and health insurers
- Will train, refine, and launch a *beta* version of the chatbot on the Health Connector in December 2020
- Supported by grants from CMS and the New York State Health Foundation, working with HonestHealth

The image displays the NYS Health Connector website and several chatbot conversation screenshots. The website features a map of New York with icons for various healthcare services and a 'Chatbot Interface' callout. The chatbot screenshots show a user asking about hip replacement surgery, searching for hospitals, checking insurance network status for Albany Medical Center, and asking about patient satisfaction at New York Druid Hospital.

Website Content:

- Welcome to the **NYS Health Connector**
- Powered by the All Payer Database
- Chatbot Interface

Chatbot Conversation 1:

Me 2:14pm: I need a hip replacement surgery

NY Nexus 2:14pm: Do you want to search by Hospital or by Surgeon first?

Me 2:15pm: Hospital

NY Nexus 2:15pm: Do you want to search by Quality Indicators or Price first?

Me 2:15pm: [Unread]

Begin typing here...

Chatbot Conversation 2:

Me 2:14pm: Is Albany Medical Center in my Fidelis Care Network?

NY Nexus 2:14pm: Do you have:

- Fidelis Care – Essential Plan
- Fidelis Care – Health and Recovery Plan
- Fidelis Care Legacy – Individual Marketplace QHP

Me 2:14pm: Fidelis Care - Essential Plan

NY Nexus 2:14pm: Yes – Albany Medical Center Hospital, in Albany, NY, is in your Fidelis Care – Essential Plan Network

Begin typing here...

Chatbot Conversation 3:

Me 2:14pm: Are other patients happy with New York Druid?

NY Nexus 2:14pm: There are a number of different options. Which of the following do you want information for?

- Joe Hormell Imaging at New York Druid
- New York Druid Hospital - Woodside Druid Center**
- New York Druid Hospital - Roger Hospital
- New York Druid/Spiro Valley Diagnostic Radiology
- New York Druid Woodside

NY Nexus 2:14pm: Overall Patient Satisfaction at 'New York Druid Hospital – Woodside Druid Center' was measured at 68.33%. This ranks it 3128 out of 4126 facilities. Please visit this link www.profiles.health.ny.gov/newyorkdruid_woodside_hospital for more detailed information.

Begin typing here...

NYS Provider Directory

New York State's Implementation of the Federal Validated
Healthcare Directory Interoperability Initiative

Provider Data Challenges

The “Why” Behind the Initiative

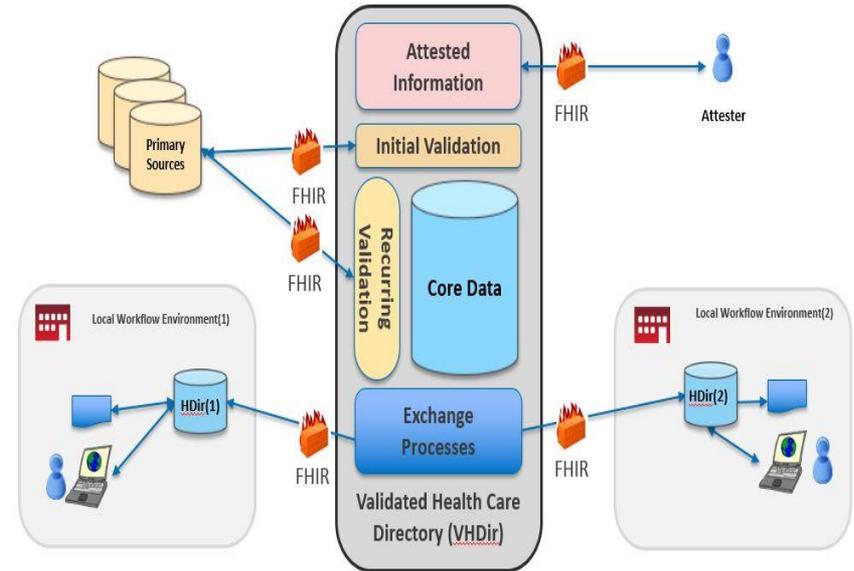
- Existing directories are managed independently, resulting in discordant information which is not interoperable
- As such, provider data have been challenging to manage, merge, and evaluate across systems
- This lack of consistent definition for provider entity types has led to ambiguity and impacted analytic groupings
- Additionally, the fluidity of provider relationships and inconsistent use of identifiers has resulted in confusing outcomes and relationships
- **Objectives include:** to develop a broad set of validated provider data to support a variety of health directory needs, interoperability, and reduce provider burden



NYS APD Provider Directory

Offering Validated Provider Data Through APIs

- A Validated Healthcare Directory
 - Puts forward cleansed, standardized, and validated provider data for use by all via API
 - Drives interoperability by fixing data at a systems level
- API available on the NYS Health Connector
 - Uses HL7 FHIR VHDIR API with ONC & FHA standard
 - Q1 Calendar Year 2020
- Initial Scope
 - Directory data elements will focus on
 - Practitioners, Organizations, Locations, Practitioner Roles, Networks, Insurance Plans, Validation, Healthcare Services, Organization Affiliations



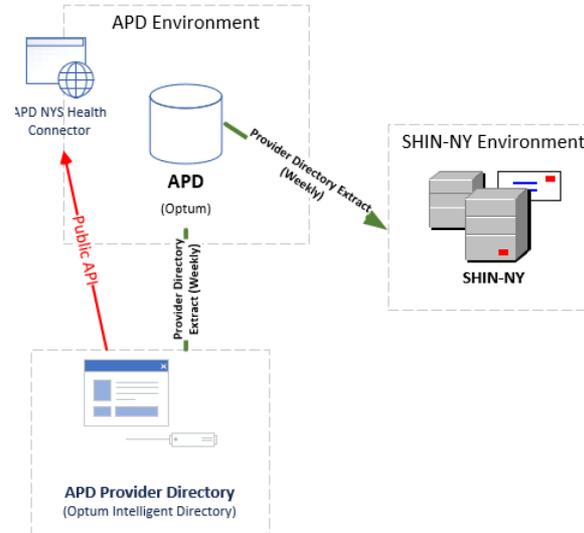
APD Provider Data & NYS APD Provider Directory

The Backbone of Interoperability

Current State

(May 2018 – October 2019)

- CMS NPPES
- NYS Medicaid
- NYS PNDS
- NYS HFIS
- NYS Licensure



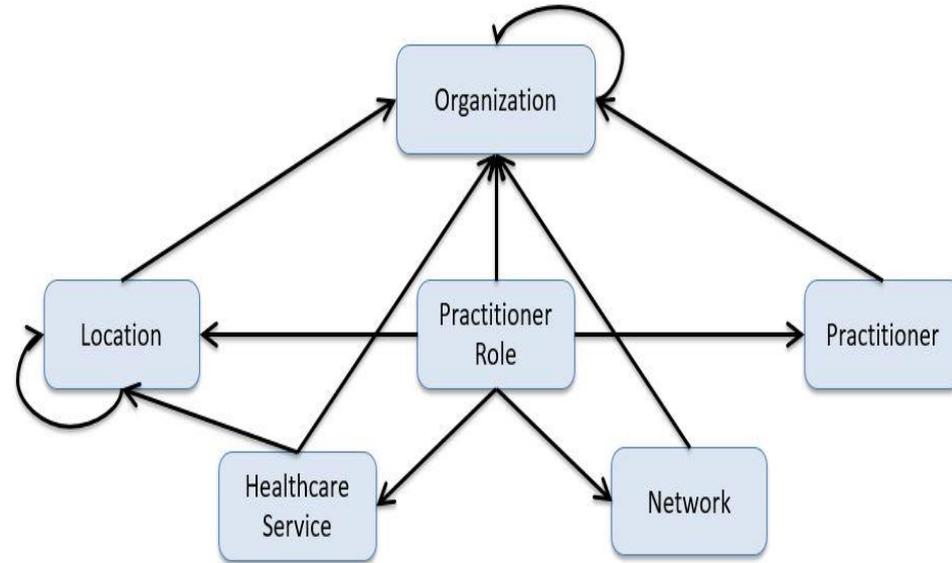
Future State

(November 2019 – November 2020)

- 630+ data sets including:
 - Urgent Care Centers
 - PECOS
 - NYS Office Based Surgery
 - NYS PNDS
 - NYS HFIS
 - NYS OASAS Articled Facilities
 - NYS OMH Articled Facilities
 - NYS Physicians Profiles
 - National Sanctions
 - National Licensure
 - National Accreditation
 - Office & Practice Outreach
 - License Pharmacies
 - Medicare ACOs
 - Vaccination Locations
 - CLIA

Provider Directory Practitioner Role

- An individual's role and healthcare services provided
- Locations
- Availability
- Specialty(ies)
- Networks
- Identifiers
- Accepting/Not Accepting New Patients
- Organizations the role is performed with
- Practitioner demographics
- And more...



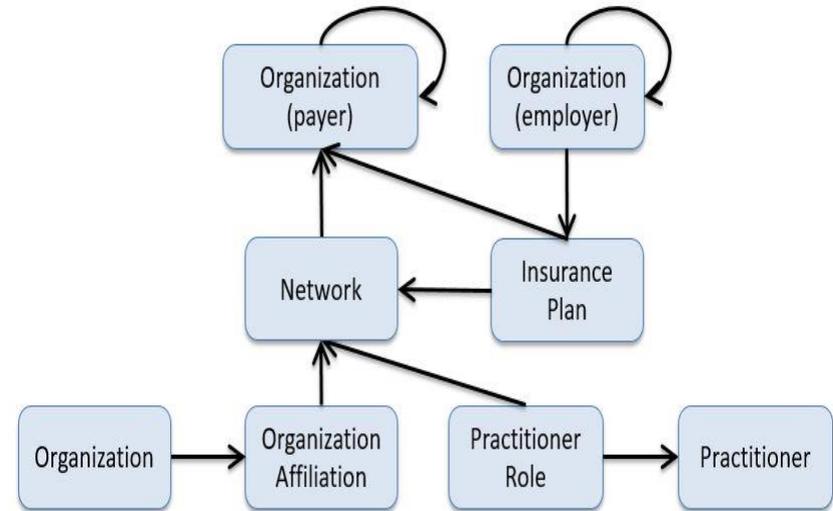
Provider Directory Organization & Network / Insurance Profiles

Organization Profile

- **Highlights:** Qualifications, Descriptions, Insurance Plans Offered to Employees, and More
- **Entities:** Corporations, Companies, Healthcare Practices, and Community Groups Amongst Others
- **Relationships:** Amongst Other Organizations, with Insurance Plans, Networks, and Practitioners

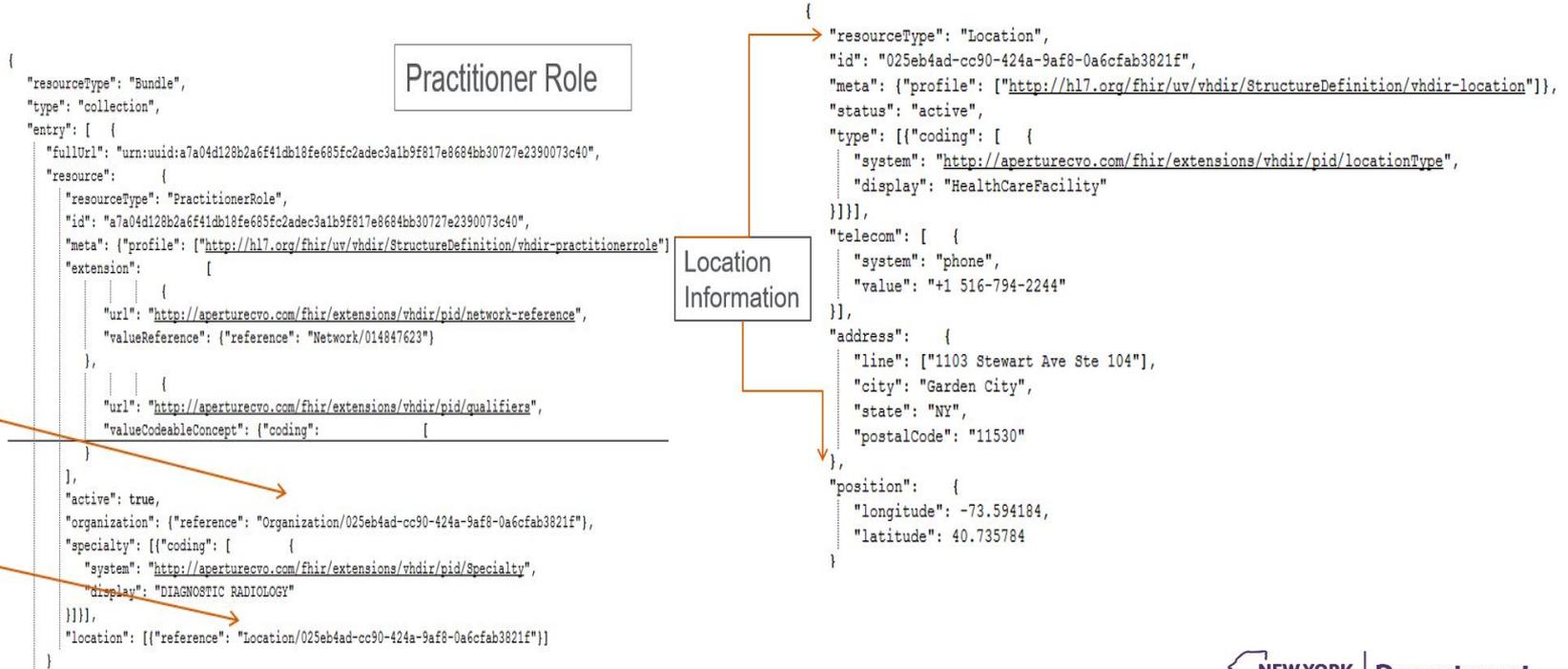
Insurance Plan Profile

- **Highlights:** Coverage Type, Benefits, Costs, and More
- **Relationships:** Employers, Organizations, Payers, Administrators, and Practitioners



Practitioner Role VHDIR API Query Response

Sample of Validated Results for: Organization.name: MRI imaging of Garden City



Practitioner Role VHDIR API Query Response

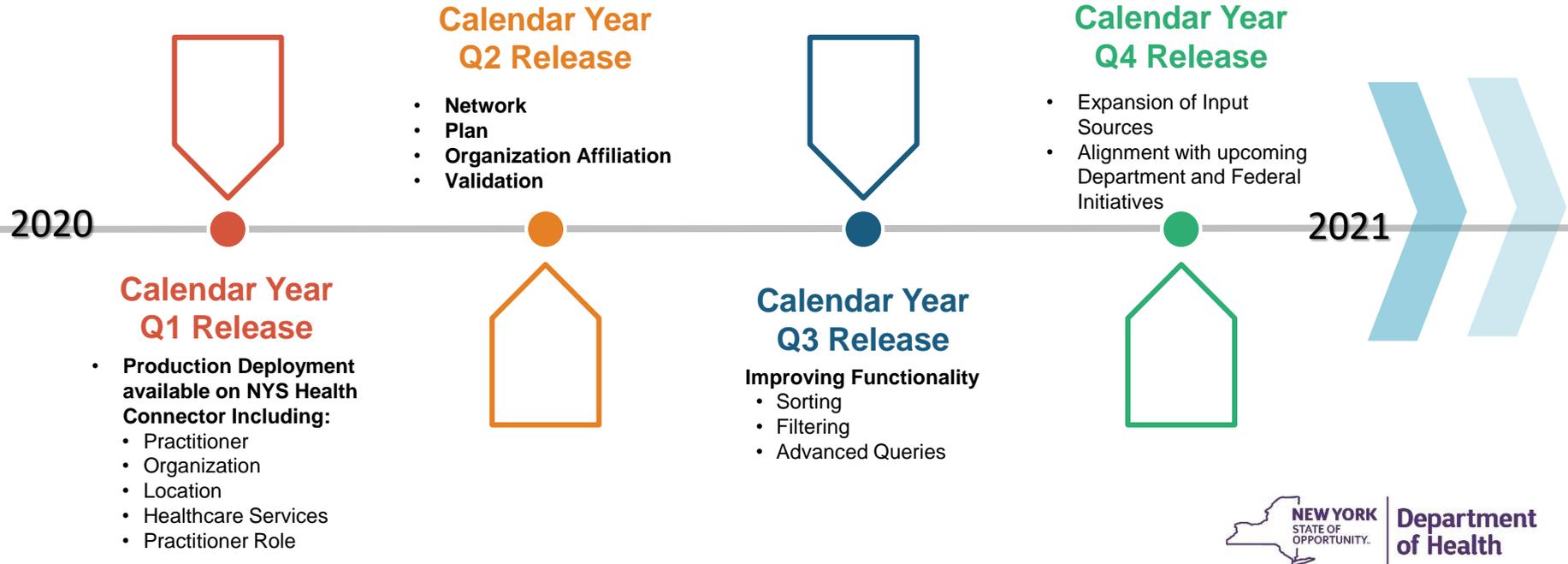
Sample of Validated Results for: Organization.name: MRI imaging of Garden City

Extensions
Accepting Medicare

```

"resourceType": "Organization",
"id": "025eb4ad-cc90-424a-9af8-0a6cfab3821f",
"meta": {"profile": [{"url": "http://hl7.org/fhir/uv/vhdir/StructureDefinition/vhdir-organization"}]},
"extension": [ {
"identifier": [ {
"extension": [ {
"url": "http://aperturecvo.com/fhir/extensions/vhdir/pid/identifier-status",
"valueCoding": {
"code": "active",
"display": "active"
}
}],
"type": {
"coding": [ {
"system": "http://aperturecvo.com/fhir/extensions/vhdir/pid/type",
"display": "Medicare Flag"
}],
"text": "Medicare Flag"
},
"system": "Medicare Flag",
"value": "N"
}],
"active": true,
"type": [{"coding": [{"system": "http://aperturecvo.com/fhir/extensions/vhdir/pid/type"}]}],
"name": "Mri Imaging Of Garden City",
  
```

Provider Directory Roadmap



APD Year 4 Strategic Objectives

- Collect & integrate commercial data
- Finalize integration of Medicare data
- Expand DOH state users
- Release additional functionality
- Expand research agenda
- Deploy APD Provider Directory via API on NYS Health Connector
- Expand NYS Health Connector dashboards
- Implement NYS Health Connector Chat Bot
- Create APD work groups



**Department
of Health**

Overview of the Original Source Data Submitter (OSDS) Project

Statutory Authority for APD Data Submission

- **Public Health Law Section 2816** authorizes DOH to collect covered person data and claims data in its APD (“APD Data”)
- “APD Data Submitters” must submit complete, accurate, and timely data to the APD
- Includes third-party health care payers as defined by **DOH regulation at 10 NYCRR Section 350.1**, means an insurer, organization, or corporation licensed or certified pursuant to:
 - Article 42, 43, or 47 of the Insurance Law; or
 - Article 44 of the Public Health Law; or
 - An entity, such as a pharmacy benefits manager, fiscal administrator, or administrative services provider that participates in the administration of a third-party health care payer system, including any health plan under 42 USC § 1320d
- ERISA plans that operate in NYS may participate as voluntary data submitters

OSDS Project Scope

- Support the required functions of the NYS APD by expanding the collection of member roster and encounter data to commercial products not offered through NY State of Health (“off-exchange commercial”)
- Consolidate all payer encounter data collection to a single platform
- Allow for the collection of Medicare Part C members and encounters
- Voluntarily collect ERISA/self-insured plan members and encounters

The OSDS Project Also Includes...

- Mechanisms to receive enrollment data from NY State of Health and eMedNY for validation of encounter data collection
- Tier 2 Editing
- Volume testing prior to system transition
- Training and a Help Desk for OSDS data submitters

Key Stakeholders for OSDS Project

DOH OQPS

DOH OHIP

NY State of
Health

Department
of Financial
Services

Optum

NYSTEC

Data
Consuming
Entities

Data
Submitters

APD Data Submitters At a Glance

- 63 unique Issuers will submit to the OSDS when it goes live in Spring 2020
- 4 Third Party Administrators (TPAs) will represent some of these Issuers
- 50 unique Issuers will be migrating from the EIS for encounter data reporting
 - 42 Issuers (84%) will submit Medicaid Managed Care
 - 16 Issuers (32%) will submit Essential Plan
 - 20 Issuers (40%) will submit Qualified Health Plan
 - 15 Issuers (30%) will submit Child Health Plus
 - 20 Issuers (40%) will submit off-exchange commercial member and encounter data
- There will be 9 new commercial off-exchange Issuers that will be first time reporters for member roster and encounter data

Project Time Frames

System Design & Development

September 2018 –
December 2019

- Project Start Date: September 10, 2018
- Stakeholder Kick Off Meeting: November 29, 2018
- Requirement Validation: November 2018 – February 2019
- System Development: March 2019 – December 2019

Issuer Testing

January 2020 –
April 2020

- System Integration Testing / QA Testing: July 2019 – April 2020
- Issuer Testing Begins: January 2020

EIS Switchover / OSDS Operations

May 2020 forward

- Estimated project go live: May 2020.
- OSDS project staff will work with Data Submitters on a production schedule

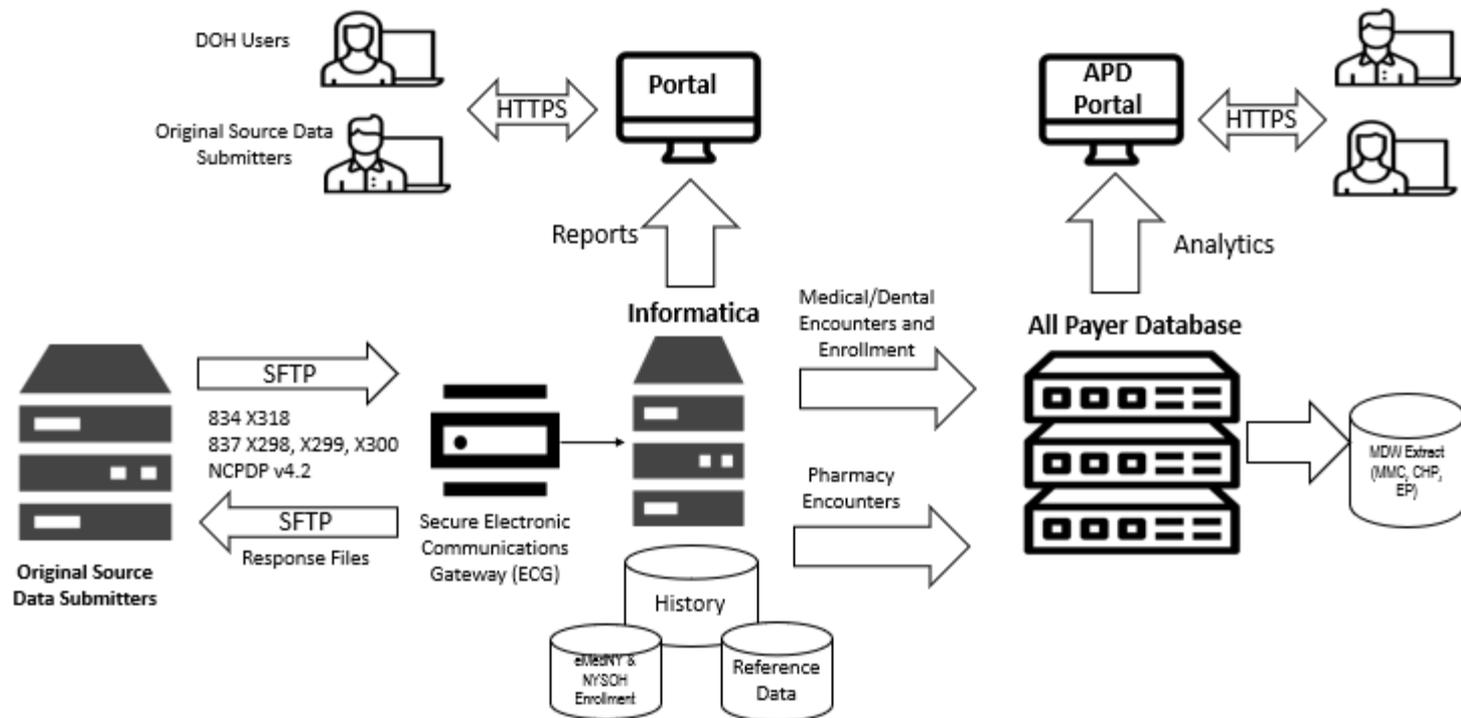
OSDS Reporting Requirements

Payer	Member	Medical / Dental	Pharmacy
Medicaid Managed Care		PACDR 837	NCPDP
Child Health Plus		PACDR 837	NCPDP
Essential Plan		PACDR 837	NCPDP
Qualified Health Plan		PACDR 837	NCPDP
Off-Exchange Commercial	834	PACDR 837	NCPDP
Medicare Part C	834	PACDR 837	NCPDP
ERISA/Employer-Based (Voluntary)	834	PACDR 837	NCPDP

New

- There is no change in reporting requirements for current EIS submitters; there is minimal change in submission requirements
- Current EIS submitters will not submit 834 member roster data in OSDS for products other than off-exchange commercial.
- The OSDS infrastructure will receive weekly feeds of eMedNY and NYSOH member data for encounter data validation
- Release notes between the EIS and OSDS are available in the NYS Health Connector OSDS Information Library

A Broad Overview of the APD Data Submitter Solution



OSDS Data Submitter Agreements (DSA)

APD Data Submitter (Payer)	Authority	OHIP / NYSOH TPA	OSDS Data Submitter Agreement (DSA)
Medicaid Managed Care	Contract	✓	✓
Essential Plan	Contract	✓	✓
Qualified Health Plan	Contract	✓	✓
Child Health Plus	Contract	✓	✓
Commercial	Regulation		✓
Medicare Part C	Regulation		✓
ERISA / Employer-Based Commercial	Voluntary		✓

Project goal is to have all DSAs on file prior to submitter testing on or before 12/31/2019

OSDS Project Documentation for APD Data Submitters

- Submitter Set-Up Instructions
- Training Materials
- Helpdesk
- Questions and Answers
- Other Knowledge Articles developed as needed
- Companion Guide: 834 Plan Member
- Companion Guide: PACDR 837
- Companion Guide: NCPDP
- Companion Guide: Data Submitter
- Tier 2 Edit Disposition Matrix
- NYS Health Connector OSDS Information Library
 - Informational WebEx Materials
 - Change Log Tier 2 Edit Disposition Matrix
 - EIS to OSDS Migration Release Notes

EIS to OSDS Migration At A Glance*

#	EIS	OSDS
1	TPA as part of Contract	Data Submitter Agreement; TPA as part of Contract remains in effect
2	EDI Registration with GDIT/CSRA	EDI Registration with Optum
3	SFTP Connection with GDIT/CSRA	SFTP Connection with Optum
4	Collect all encounter data	Collect all encounter data & Off-Exchange Commercial Member Roster
5	Medicaid and CHP transactions combined	Medicaid and CHP transactions separated
6	Processes 837, NCPDP Transactions	Processes 837, NCPDP, 834 X318 Transactions
7	Provides Tier 1 & 2 Editing	Provides Tier 1 & 2 Editing with additions, changes and removals
8	Sends Standard X12 responses: TA1, 999, 277CA responses	Sends Standard X12 responses: TA1, 999, 277DRA responses
9	Proprietary responses: NCPDP: RxTA, RxFA, RxCA. X12: 837 RJ	Proprietary responses: NCPDP: RJ , RxTA, RxFA, RxCA X12: 837 RJ, 834 RJ, 834 RL
10	Issuer Portal - CSRA/GDIT Connection	Data Submitter Portal through NY.Gov Connection
11	Issuer Portal Summary Reports in Excel	Data Submitter Portal Summary Reports in Excel using Tableau
12	Test Environment is Not Secure – No PHI or Member data can be submitted	Test Environment Secure - PHI and Member Data can be submitted

*Full Release Notes Available at: <https://nyshc.health.ny.gov/web/nyapd/information-library>



External Communication


[Services](#)
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[Government](#)
[Local](#)
[NYS Health Connector](#)
[Reports](#)
[Dashboards](#)
[Data Access](#)
[Data Submitters](#)
[News](#)
[About](#)

Data Submitters

> APD EIS

▼ APD OSDS

[Project News](#)
[Guidance Manuals](#)
[Information Library](#)
[Questions and Answers](#)
[Stay Connected](#)

SPARCS

APD OSDS

The Original Source Data Submitter (OSDS) system is currently being developed to collect medical, dental and pharmacy encounter data and off-exchange commercial member data. The OSDS, once fully developed, will replace the EIS for the collection of encounter data. This section will be updated frequently as the OSDS system is under development to provide APD Data Submitters with up to date communications on submission specifications, timelines, testing and other important information.

Direct Link: <https://nyshc.health.ny.gov/web/nyapd/apd-osds>



Questions and Answers

Data Submitters

> APD EIS

▼ APD OSDS

Project News

Guidance Manuals

Information Library

Questions and Answers

Stay Connected

APD OSDS Questions and Answers

The Questions and Answers document for APD OSDS Data Submitters will be updated on a regular basis by the OSDS Project Team. Questions are listed in the order in which they were received. APD OSDS Data Submitters are urged to familiarize themselves with this entire document to be fully informed on the most recent communications from the OSDS Project Team. We welcome questions and feedback at: apd_osds@health.ny.gov.

Questions and Answers (last updated on 09/17/2019)



Department
of Health | All Payer
Database

Original Source Data Submitter Project

Questions and Answers Document
for APD Data Submitters

Version 1.0 – September 2019

Prepared by:
OSDS Project Team

Last Updated:
September 17, 2019

Contents

1. Overview and Purpose of Document	2
2. General Information	2
3. Data Submitter Information	3
4. Migration from Current Encounter Intake Submitters	7
5. X12 834 X318 Plan Member Reporting	8
6. X12 837 PACDR Reporting	14
7. NCPDP Reporting	15
8. Edits	15
9. Data Response Files and Feedback Reports	16
10. Testing	18
Acronym Definitions	20
Change Log	21

The OSDS Project Team welcomes feedback and comments on this document, please contact us at:

Original Source Data Submitter Project
Division of Information and Statistics
Office of Quality and Patient Safety
New York State Department of Health
Coming Tower Room 1911
Albany, New York 12237
Phone: 518-474-4987

Email: apd.osds@health.ny.gov

NYS Health Connector: <https://nyshc.health.ny.gov/web/nyapd/apd-osds>



APD Data Submitter Informational WebEx Series

- On a monthly basis an Informational WebEx is conducted for internal and external stakeholders
- Questions and Answers are published on NYS Health Connector
- Slide Decks are published on NYS Health Connector Information Library
 1. February 2019 – OSDS Project Overview
 2. March 2019 – Submitter, Product, Plan Level Identification; Member ID
 3. April 2019 – 834 X318 Data Collection and Response Files (Part #1)
 4. May 2019 – 834 X318 Data Collection and Response Files (Part #2)
 5. August 2019 – Guidance Manuals; PACDR and NCPDP Feedback
 6. September 2019 – OSDS Updates; Data Submitter; 834 Plan Member, Tier 2 Edit Disposition Spreadsheet

Note: During June & July 2019 small group convening sessions were conducted with X12 834 Subject Matter Experts



Submitter Readiness Survey

- To assess the readiness of commercial off-exchange data submitters, and current EIS data submitters, an OSDS submitter readiness survey was released on September 30, 2019 to APD Data Submitters
- As of October 15th, 23/63 organizations have responded (37% response rate)
 - 18/23 (78%) currently report to EIS
 - Nearly all respondents are aware of the guidance material being prepared and disseminated by the OSDS Project Team on the NYS Health Connector
 - Survey respondents are indicating that they are still reviewing all the information that is necessary for data submission
- We urge data submitters to please complete the survey
- When the survey period is complete, anonymized and aggregated results will be shared with all APD Data Submitters as part of our Informational WebEx series

Lunch / Networking

(12:15 to 1:15 pm)



**Department
of Health**

OSDS Onboarding Process

Key Milestones to Onboarding

Guide

- Obtain from the NYS Health Connector and Review the latest OSDS Data Submitter Information Companion Guide

DSA

- Execute an OSDS Data Submitter Agreement (DSA)

EDI

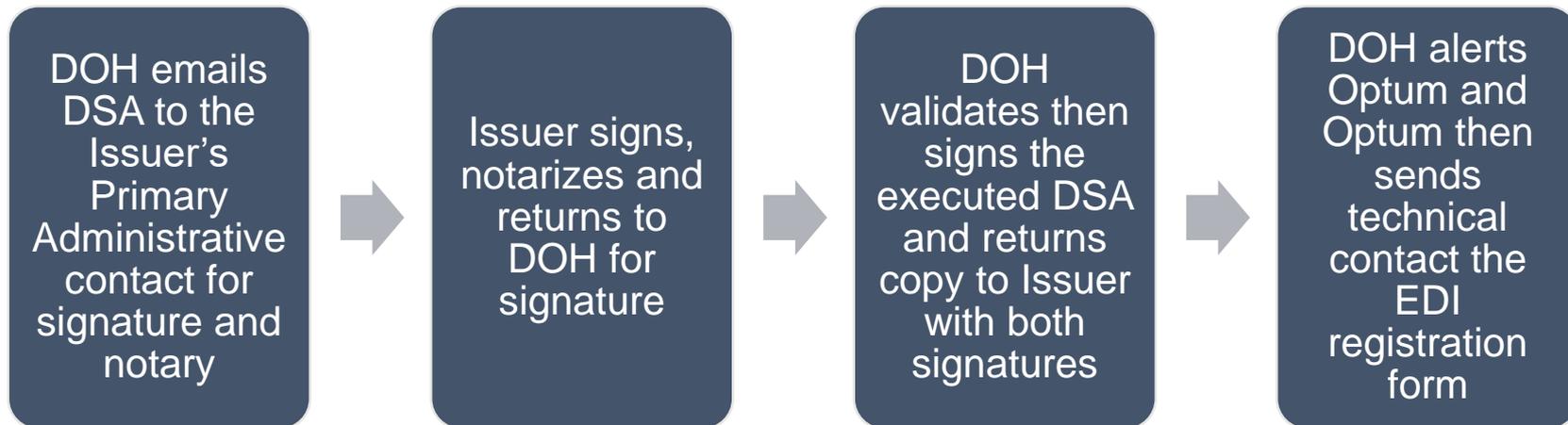
- Complete an EDI Registration Form and Obtain Optum-issued Data Submitter Registration Number

SFTP

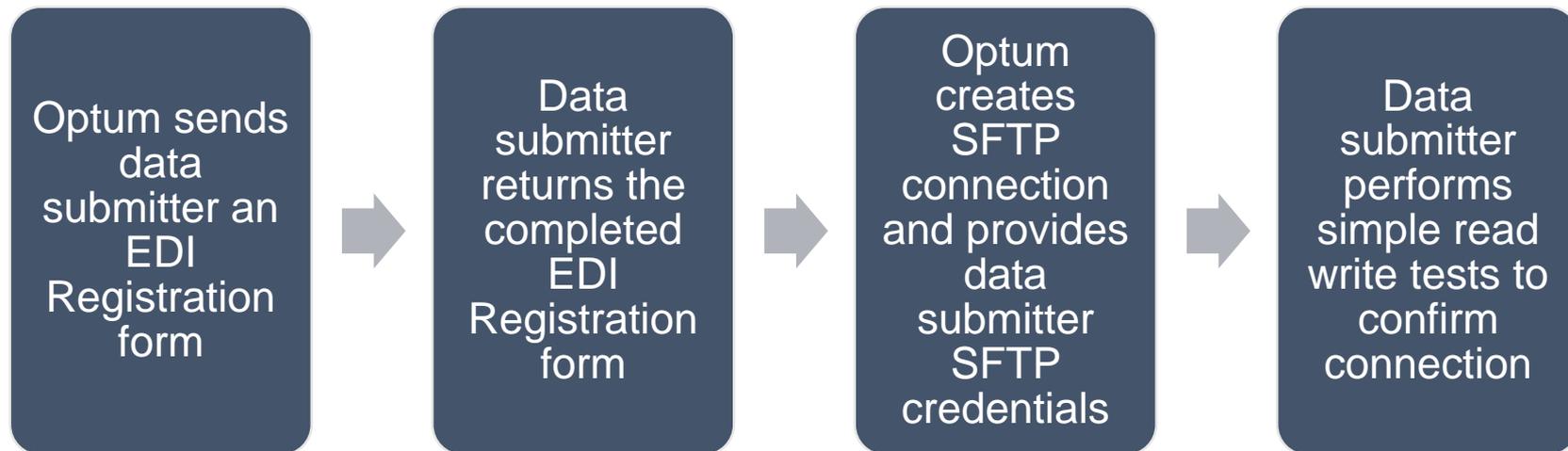
- Connect to OSDS System via SFTP for Processing
- Network Connectivity and Data Testing

DSA Process Flow

The DSA outlines the terms and conditions under which data submitters and the DOH will exchange data, and lists the obligations of both parties with respect to documentation, communication and data security



EDI Registration Process Flow



EDI Registration Form Purpose

- Establish the relationship between the data submitter and Optum, including connectivity
- Data submitters are responsible for completing their own EDI forms (this includes Issuers and TPAs)
- Issuers must manage their TPA relationships and ensure relationships are reflected accurately on the EDI registration form
- Optum cannot accept establishment of an Issuer/TPA relationship from anyone other than the Issuer

Training & Help Desk Operations

- Technical support is available from both the OSDS Project Team and the Optum Help Desk to assist data submitters with all aspects of data submission
- Tickets can be submitted by phone or through ServiceNow
 - Optum will work with you to set up your Help Desk account
- Training
 - Optum will provide training webinars and other training materials pertaining to EDI registration and data submission

DOH OSDS Project Team

Email: apd.osds@health.ny.gov

Web: <https://nyshc.health.ny.gov/web/nyapd/apd-osds>

Phone: 518-474-4987

Optum Help Desk

ServiceNow: <https://optumgov.service-now.com/itss2>

Phone: 1-877-363-5630

Notes for Current EIS Submitters

- Current EIS submitters will have time to test the new system, then transition their encounter data submission to OSDS production
- While the OSDS is being developed, current EIS submitters will continue to submit CHP, QHP, EP and MMC encounter data to EIS to ensure no disruption in essential encounter data collection
 - NY State of Health and eMedNY enrollment feeds will continue to be used for encounter data validation
- There will not be parallel production systems of encounter data submission

Notes for New Off-Exchange Commercial Submitters

- Off-exchange commercial data submitters will be allowed time to test the submission of enrollment and encounter data before the move to production
- At the end of interactive system testing, off-exchange commercial data submitters will begin to submit enrollment and encounter data to OSDS production for coverage and service dates **January 1, 2018 forward**
- The issuer notification letter released in November 2018 provided issuers sufficient notice to begin necessary steps to prepare for interactive testing of data submission in the required submission formats and retention of CY 2018 and CY 2019 information

Timing of Submissions

- For off-exchange commercial submitters, the *minimum* frequency of submission for all file types will be weekly
- Medicaid issuers should continue to adhere to the encounter submission frequency required by the Medicaid Model Contract
- Data submitters must submit at least 95% of APD data within 60 days from the end of the month of the adjudicated claims being submitted for payment, and 100% of APD data within 180 days from the end of the month of the adjudicated claims being submitted for payment
- In the event that technical difficulties prevent timely submission of APD data, data submitters should contact the DOH APD team at apd.osds@health.ny.gov for assistance. DOH may issue extensions of the submission deadline when deemed appropriate



**Department
of Health**

An Overview of OSDS Guidance Manuals

OSDS Guidance Manuals

Data Submitter
Information
Companion Guide
Version 1.0

X12 837 PACDR
Companion Guide
Version 1.1

X12 834 Plan Member
Reporting Companion
Guide
Version 1.0

NCPDP Post-
Adjudication Standard
Companion Guide
Version 1.0

Tier 2 Edit Disposition
Excel Spreadsheet
Version 1.0

OSDS Supported Transactions

Inbound Transaction	Outbound Transaction
<p>OSDS Companion Guide: Plan Member 834 X318</p> <p>Plan Member Reporting (834): version 005010X318</p>	<ul style="list-style-type: none"> • RJ File Rejection • TA1 Response: File Level Handshake • 999 Acknowledgments: Implementation Acknowledgement for Health Care Insurance ASC X12C 005010X231A1 • 834RL: 834 Record Level Response
<p>OSDS Companion Guide: 837 PACDR</p> <p>PACDR (837): Professional version 005010X298 PACDR (837): Institutional version 005010X299 PACDR (837): Dental version 005010X300</p>	<ul style="list-style-type: none"> • RJ File Rejection • TA1 Response: File Level Handshake • 999 Acknowledgments: Implementation Acknowledgement for Health Care Insurance ASC X12C 005010X231A1 • 277 DRA Acknowledgment: Data Reporting Acknowledgement ASC X12N 005010X364
<p>OSDS Companion Guide: NCPDP PACDR</p> <p>Post-Adjudicated Claim Standard (NCPDP) version 4.2</p>	<ul style="list-style-type: none"> • RJ File Rejection • RxFA Acknowledgement: Rx Healthcare File • RxTA Acknowledgement: Rx Healthcare Transaction • RxCA Acknowledgement: Rx Healthcare Claim

Bold indicates proprietary response format.

OSDS Data Submitter Companion Guide



Original Source Data Submitter

**Data Submitter Information Companion
Guide**

Instructions related to the Exchange of Electronic Data
Interchange (EDI) with the OSDS system

Based on X12 Implementation Guides, Version 5010 and
NCPDP Post-Adjudication Standard Implementation
Guide, Version 4.2 and Related Documents

Data Submitter Information
Version Number: 1.0 September 2019

- Instructions related to the exchange of EDI with the OSDS system.
- Intended to provide information needed by data submitters to exchange EDI data with the OSDS system.
- Includes information about registration, testing, support, and other information.

https://nyshc.health.ny.gov/documents/39436/108308/osds_standard_companion_guide_data_submitter_information.pdf

Inbound File Naming Convention

(Tran Category).(OSDS Submitter ID + Payer ID).(Transaction).(Program Suffix).(Frequency).(Date Time).(SEQNO).(DAT)

Tran Category	TR - Transaction
OSDS Submitter ID + Payer ID	<ul style="list-style-type: none"> OSDS Submitter ID is Assigned by Optum (Ex. Z12345) Payer ID is the (HIOS, NAIC or OSDS Submitter ID) (Ex. 67890) Example: Z1234567890
Transaction	837I – Institutional 837 837P – Professional 837 837D – Dental 837 PDP – NCPDP pharmacy 834F – Full File Plan Member Reporting 834C – Correction File Plan Member Reporting
Program Suffix	Q – QHP E – Essential Plan M – Medicaid K – CHP C – Off-exchange commercial
Frequency	D – Daily W – Weekly B – Bi-weekly M – Monthly
Date	12-digit date and time stamp (24-hour time, in the format YYMMDDHHMMSS)
Sequence Number SEQNO	The sequence of files within a specified timestamp. This will only contain a value other than 1 when more than one file is created within the same second.
DAT	This is always .DAT

Note: Updated versions of the Data Submitter Companion Guide will include a program suffix for Medicare Advantage

Outbound File Naming Convention

(Tran Category).(UserID).(Transaction)(Program Suffix).(Frequency).(DateTime).(SEQNO).(DAT)

Tran Category	RJ – Reject File IA – TA1 X12 or RxFA (Interchange Acknowledgment) FA – Interchange Acknowledgment (999 or RxTA Report) HN – Data Reporting Acknowledgment (277DRA, RxCA, 834RL)
UserID	NYOSDS
Transaction	837I – Institutional 837 837P – Professional 837 837D – Dental 837 834F – Full File Plan Member Reporting X318 834C – Correction File Plan Member Reporting X318 PDP – NCPDP pharmacy
Program Suffix	Q – QHP M – Medicaid E – Essential Plan K – CHP C – Off-exchange commercial
Frequency	D – Daily W – Weekly B – Bi-weekly M – Monthly
Date	12-digit date and time stamp (24-hour time, in the format YYMMDDHHMMSS)
Sequence Number SEQNO	The sequence of files within a specified timestamp. This will only contain a value other than 1 when more than one file is created within the same second.
DAT	This is always .DAT

Note: Updated versions of the Data Submitter Companion Guide will include a program suffix for Medicare Advantage

Transaction File Restrictions

- Limit the file size to no more than 50 MB per file
 - If your file is greater than 50 MB, multiple transactions must be created of less than 50 MB and put into a single Zip file in order to ensure sequential processing
 - If you have a multiple part file in a Zip file, each file must be a standalone file following the file formatting requirements for each file type and naming conventions listed in Section 3.1.4 of the OSDS Data Submitter Companion Guide. Each file will be processed separately.

834 Plan Member Companion Guide



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Original Source Data Submitter (OSDS)

X12 834 Plan Member Reporting Standard Companion Guide Transaction Information

Instructions Related to Transactions
Based on ASC X12 834 X318 Plan Member
Reporting Implementation Guide, Version 5010

Transaction Information Companion Guide
Version Number: 1.0 – August 2019

Instructions related to Transactions
Based on the X12 834 X318
Implementation Guide, Version 5010,
and related documents

APD Data Submitters are urged to
familiarize themselves with the section
on 834 Member Reporting in the most
recent Questions and Answers
document

https://nyshc.health.ny.gov/documents/39436/108308/osds_834_companion_guide.pdf



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Plan Member Reporting

- 834 X318 requirements are for off-exchange commercial data submitters
- Unique subscriber and member identification numbers are generated by the data submitter
- 834 X318 is not a bi-directional process
- Enrollment and encounter data related to members covered by an insurance policy offered in NYS under a NYS licensed insurer must be submitted to the OSDS system, regardless of member residency

Plan Member Reporting

- The OSDS expects a full file submission of member reporting data at least weekly
 - The initial submission is expected to include all members that had coverage on or after **January 1, 2018**
 - All records submitted in the initial submission should be submitted as an “Add”
 - Subsequent submissions will be identified as situationally appropriate according to the Implementation Guide
- Corrections to rejected records can be submitted more frequently if an update is required before the next full file submission
- A full replacement consists of all active or changed (inclusive of terminations or cancels) coverage segments
- Cancellations and terminations only need to be sent once unless retrospective change occurs

837 PACDR Companion Guide



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Original Source Data Submitter (OSDS)

X12 837 Post-Adjudicated Claim Data
Reporting Implementation Guides

Standard Companion Guide
Transaction Information

Instructions Related to Transactions
Based on ASC X12 837 Post-Adjudicated Claim Data
Reporting Implementation Guides, Version 5010

Transaction Information Companion Guide
Version Number: 1.1 - September 2019

Instructions related to Transactions
Based on X12 837 X298, X299, X300
Implementation Guides, Version 5010,
and related documents

<u>Unique ID</u>	<u>Name</u>
005010X298	Post-Adjudicated Claims Data Reporting: Professional (837)
005010X299	Post-Adjudicated Claims Data Reporting: Institutional (837)
005010X300	Post-Adjudicated Claims Data Reporting: Dental (837)
005010X231A1	Implementation Acknowledgment For Health Care Insurance (999)
005010X364	Data Reporting Acknowledgment (277DRA)



NCPDP Companion Guide



Original Source Data Submitter (OSDS)

NCPDP Post-Adjudication Standard Companion Guide Transaction Information

Instructions Related to Transactions
Based on NCPDP Post-Adjudication Standard
Implementation Guide, Version 4.2, and Related
Documents

Transaction Information Companion Guide
Version Number: 1.0 - August 2019

Instructions related Transactions
Based on NCPDP Post-
Adjudication Standard
Implementation Guide, Version
4.2, and related documents

https://nysdc.health.ny.gov/documents/39436/108308/osds_transaction_information_companion_guide_ncpdp.pdf



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OSDS Edits

Tier 1 and Tier 2 Edits in the OSDS

<https://nyshc.health.ny.gov/web/nyapd/apd-osds-guidance-manuals>

- If a submission file passes Tier 1 editing (standard level syntax and structure editing), the OSDS system will perform Tier 2 editing on each record
- The OSDS system process will check to ensure functional edits are met (external code sets and logical validation)
- Edit descriptions and logic for each OSDS edit are found on the Tier 2 edit document



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Document Title: Tier 2 Edit Dispositions
Project: NYS OSDS
Produced For: NYS OSDS Project
Produced By: Optum OSDS Team
Date: August 2019
Notes:

Version 1.0

Version 1.0 contains edits and dispositions by LOB.

Spreadsheet Tabs

Title	Description
Professional (298) Edits	Listing of edits and dispositions by LOB for the x298 Professional transaction
Institutional (299) Edits	Listing of edits and dispositions by LOB for the x299 Institutional transaction
Dental (300) Edits	Listing of edits and dispositions by LOB for the x300 Dental transaction
NCPDP Pharmacy Edits	Listing of edits and dispositions by LOB for the NCPDP Pharmacy transaction
834 X318 Plan Member Edits	Listing of edits and dispositions for 834 X318 Transaction



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834 Edits

- Edit Logic
- OSDS Edit #
- OSDS Edit Description
- OSDS Edit Disposition Code (Hard/Soft)

Example...

OSDS Edit Logic	Original Source Data Submitter Edit Code and Description (Found only on Tier II Edit Summary Reports)		
Edit Logic	OSDS Edit #	OSDS Edit description	OSDS Edit Disposition Code (Hard/Soft)
If Social Security Number or Federal Taxpayer ID is reported, If REF01 = "SY" (Social Security Number) must be 9 digits, cannot begin with 9 and cannot be all 0s. must be a 9 digit number with no separators Numbers with all zeros in any digit group (000#####, ###00####, #####0000) are considered invalid; numbers with 666 or 900-999 in the first digit group	00405	Invalid Member SSN	Hard
If Federal Taxpayer ID is reported (REF01= " TJ"), must be 9 digits, cannot begin with 9 and cannot be all 0s. must be a 9 digit number with no separators	00406	Invalid Member Taxpayer Identifier	Hard
If the member is not the subscriber (INS01=N), a subscriber record REF01=0F should be populated with the subscriber id	00407	Missing Subscriber Identifier	Hard
Maintenance Reason Code INS04 - Situational Rule Required value when INS03 is 001, 021 or 024	00408	Missing Maintenance Reason Code	Hard
DTP - Member Level Maintenance Date 2000 - DTP01 - Required when reporting effective date of change to existing if the segment is reported must be 303	00409	Missing Member Level Maintenance Date	Hard
INS07 Consolidated Omnibus Budget Reconciliation Act (COBRA) Qualifying Event Code is required when INS05 Benefit Status Code is equal to "C"	00410	Missing Qualifying Event Code	Hard
A valid Employment Status Code INS08 is required when INS01 = "Y"	00411	Missing Employment Status Code	Hard
Must be a valid State code OR valid Province code. This edit will only be performed if the address is in	00412	Invalid Member State or Province Code	Hard

Edit Disposition Change Log

- Found in Information Library: <https://nyshc.health.ny.gov/web/nyapd/information-library>
- All 834 Edits are new to the OSDS

Tab	Description	Details
X12 837 Edit Differences	Listing of edits by LOB for Addition, Changes and Deletions	X298 11 Additions, 4 Changes, 1 Deletion to current EIS Tier 2 Edits X299 21 Additions, 3 Changes, 1 Deletion to current EIS Tier 2 Edits X300 10 Additions, and 1 Change to current EIS Tier 2 Edits
NCPDP Edit Differences	Listing of new edits for NCPDP	13 New Edits have been added to the OSDS System

837 Edits and Differences

Example...

- Transaction (x298, x299, x300)
- Health Care Claim Status Code
- Health Care Claim Status Code Description
- Edit Logic
- OSDS Edit #
- OSDS Edit Description
- Edit Disposition (Hard/Soft)
- Change Type (Addition, Change of Logic, Deletion)

Transaction	Health Care Claim Status Code	Health Care Claim Status Code Description	Edit Logic	OSDS Edit #	OSDS Edit Description	Edit Disposition	Change Type
Professional (x298)	26	Entity not found	The member record for the patient not found for the Date of Service	00253	Member Record for the patient Not found for Date of Service	Hard	Addition
Professional (x298)	54	Duplicate of a previously processed claim/line	Multiple voids for the same original submitted encounter can not be accepted	00250	Multiple Voids for same encounter not allowed	Hard	Addition
Professional (x298)	85	Entity Not primary	Ensures each claim is representative of a single adjudication of the claim by that payer. Verifying there is only one SBR06 = 6 per claim.	00239	Multiple adjudications of a claim by a payer.	Hard	Addition
Professional (x298)	90	Entity not eligible for medical benefits for submitted date of service	The member record is not found for the patient for the Submitting plan for the date of service on the encounter	00254	Member Record for the patient not found for submitting plan for the date of Service	Hard	Addition
Professional (x298)	145	Entity's speciality/taxonomy code	Must be valid Health Care Provider Taxonomy Code	00126	Invalid Referring Provider Taxonomy Code	Soft	Addition
Professional (x298)	178	Submitted Charges	Total charge amount must not be negative	00238	Invalid Total Charge Amount	Hard	Addition
Professional (x298)	187	Date(s) of service	Ensure when there are date ranges the "from" date is prior or equal to the "to" date 2400 -DTP-DATE-SERVICE DATES When DTP01 = 472 and DTP02 = "R08" CCYYMMDD-CCYYMMDD from date populate is prior to or equal to "to" date populated in DTP03	00242	Invalid Service Date Range	Soft	Addition

NCPDP Edits and Differences

Example...

- Transaction (NCPDP)
- Error Code
- Error Code Description
- Edit Logic
- OSDS Edit #
- OSDS Edit Description
- Edit Disposition (Hard/Soft)
- Change Type (Addition)

Transaction	Error Code	Error Code Description	Edit Logic	OSDS Edit #	OSDS Edit Description	Edit Disposition	Change Type
NCPDP	65	Patient Is Not Covered	The member record is not found for the patient for the Submitting plan for the date of service on the encounter	00258	Member Record for the patient not found for submitting plan for the date of Service	Hard	Addition
NCPDP	N1	No patient match found.	The member record for the patient not found for the Date of Service	00257	Member Record for the patient Not found for Date of Service	Hard	Addition
NCPDP	R4	Procedure Modif	If Product/Service ID Qualifier is equal to zero, 407-D7 Product/Service ID must be zero. If Product/Service ID is equal to zero, 436-E1 Product/Service ID Qualifier must be zero.	00256	Invalid Product ID Qualifier / Product ID Combination	Hard	Addition
NCPDP	81	Claim too old	Service Date must be less than 2 years from processing date.	00255	Invalid Service Date - Two Years Prior to Date Received	Soft	Addition



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Additional Information on EIS to OSDS Migration

EIS to OSDS Migration At A Glance*

#	EIS	OSDS
1	TPA as part of Contract	Data Submitter Agreement ; TPAs as part of Contract remain in effect
2	EDI Registration with GDIT/CSRA	EDI Registration with Optum
3	SFTP Connection with GDIT/CSRA	SFTP Connection with Optum
4	Collect all encounter data	Collect all encounter data & Off-Exchange Commercial Member Roster
5	Medicaid and CHP transactions combined	Medicaid and CHP transactions separated
6	Processes 837, NCPDP Transactions	Processes 837, NCPDP, 834 X318 Transactions
7	Provides Tier 1 & 2 Editing	Provides Tier 1 & 2 Editing with additions, changes and removals
8	Sends Standard X12 responses: TA1, 999, 277CA responses	Sends Standard X12 responses: TA1, 999, 277DRA responses
9	Proprietary responses: NCPDP: RxTA, RxFA, RxCA. X12: 837 RJ	Proprietary responses: NCPDP: RJ , RxTA, RxFA, RxCA X12: 837 RJ, 834 RJ, 834 RL
10	Issuer Portal - CSRA/GDIT Connection	Data Submitter Portal through NY.Gov Connection
11	Issuer Portal Summary Reports in Excel	Data Submitter Portal Summary Reports in Excel using Tableau
12	Test Environment is Not Secure – No PHI or Member data can be submitted	Test Environment Secure - PHI and Member Data can be submitted

*Full Release Notes Available at: <https://nyshc.health.ny.gov/web/nyapd/information-library>



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APD Data Submitter Response Process and Reports

Member Acknowledgements

- OSDS 834 x318 Record Level Response File (834 RL)
- All member response records will be returned to the data submitter via Optum's Secure File Transfer Protocol (SFTP) tool: Electronic Communication Gateway (ECG)
- The OSDS will provide a detailed acknowledgment of each individual member record. The acknowledgment will indicate the accept/reject status for each record
- The OSDS will provide all edit reasons for each rejected member record.
- There is no limit on the number of edits that can be listed in the response file.

Member Acknowledgements

- OSDS 834 x318 Record Level Response File (834 RL)
- The purpose of this response file is to link the response status to the submitted records
- The OSDS NYS specific response file will be a pipe delimited text file

Reported for all records:

- Submitter Identifier
- Information Source Name
- File Name
- Transaction Set Creation Date
- Subscriber Identifier
- Member Identifier
- OSDS Record Disposition
(Accept/ Accepted with Error/ Reject)

Reported only for accepted with error or rejected records:

- Value Reported
- Edit ID
- Edit Description

Member Acknowledgements

5.2 Sample Pipe Delimited Text File

Included below is a sample of 834 pipe delimited text file.

```
1234|ABCDE|HN.NYHBE.834C.W.130430135202.001.DAT|20190501|123456XY|123456XY|ACCEPT
1234|ABCDE|HN.NYHBE.834C.W.130430135202.001.DAT|20190501|654321AB|654321AB|ACCEPT
1234|ABCDE|HN.NYHBE.834C.W.130430135202.001.DAT|20190501|987654AB|987654AB|REJECT|99999|123|Invalid Member Zip Code|HARD
1234|ABCDE|HN.NYHBE.834C.W.130430135202.001.DAT|20190501|45678900|45678900|REJECT|20500101|346|Invalid Member Birth Date|HARD
1234|ABCDE|HN.NYHBE.834C.W.130430135202.001.DAT|20190501|654321AB|65432101|ACCEPT| |789|Missing Member Race/Ethnicity Code|SOFT
1234|ABCDE|HN.NYHBE.834C.W.130430135202.001.DAT|20190501|654321AB|65432101|ACCEPT| |789|Missing Member Race/Ethnicity Code|SOFT
```

5.3 Pipe Delimited Text File Converted to Excel (column heading added)

The table below shows the 834 pipe delimited text file converted to Excel.

Submitter ID	Information Source	File Name	Created Date	Subscriber ID	Member ID	Record Status	Value Reported	Edit ID	Edit Description	Edit Status
1234	ABCDE	HN.NYHBE.834C.W.130430135202.001.DAT	20190501	123456XY	123456XY	ACCEPT				
1234	ABCDE	HN.NYHBE.834C.W.130430135202.001.DAT	20190501	654321AB	654321AB	ACCEPT				
1234	ABCDE	HN.NYHBE.834C.W.130430135202.001.DAT	20190501	987654AB	987654AB	REJECT	99999	123	Invalid Member Zip Code	HARD
1234	ABCDE	HN.NYHBE.834C.W.130430135202.001.DAT	20190501	45678900	45678900	REJECT	20500101	346	Invalid Member Birth Date	HARD
1234	ABCDE	HN.NYHBE.834C.W.130430135202.001.DAT	20190501	654321AB	65432101	ACCEPT	NULL	789	Missing Member Race/Ethnicity Code	SOFT
1234	ABCDE	HN.NYHBE.834C.W.130430135202.001.DAT	20190501	654321AB	65432101	ACCEPT	NULL	789	Missing Member Race/Ethnicity Code	SOFT

Table 5: 834 Response Text File converted to Excel File

Encounter Acknowledgements

- NCPDP acknowledgements will be in the same format that EIS submitters receive today:
 - RxFA File Acknowledgement
 - RxTA Transaction Acknowledgement
 - RxCA Claim/Encounter Acknowledgement

NCPDP Acknowledgement Changes

- RJ File Level Rejection
- 837 acknowledgements (TA1 and 999) will be in the same format that EIS submitters receive today:

- Only Negative 999s will be sent

837 Acknowledgement Changes

- Receive 277 DRA instead of a 277 CA

Encounter Acknowledgements

- 277 DRA Changes:
 - 277 structure modified to represent the data reporting entity/data submitter relationship, rather than provider/payer relationships
 - Soft Edits are supported – referred to as “accepted with errors” within the transaction
 - OSDS will be provided enhanced edit identification by using more than one status trio: (status category code, status code, entity code)
 - Various codes throughout the implementation guide have been reevaluated and modified to provide a cleaner representation of the intent

Portal Report Landing Page*



- Data submitter reports will be available in csv or Excel format
- All registered and approved data submitters will have access to reports
- The OSDS will produce summary reports tailored for issuers and data submitters
- The OSDS enhances interface generating reports through Tableau
- There will be 834 reports for commercial off-exchange data submitters

**Subject to Change during Development and Testing*

Example of a Portal Report in Tableau

Report ID: RSD 8.2
 Report Date: 8/8/2019
 Issuer Member Submission Report

Select Report Date: 8/8/2019
 Select LOB to View: EP



LOB	Issuer ID	File Name	Date of Receipt	Date Processed
EP	11177	NYE11177.837IE.W.190801032140.001.DAT	08/01/2019	08/01/2019
EP	11177	NYE11177.837IE.W.190801041539.001.DAT	08/01/2019	08/01/2019
EP	11177	NYE11177.837IE.W.190805035535.001.DAT	08/05/2019	08/05/2019
EP	11177	NYE11177.837IE.W.190805050510.001.DAT	08/05/2019	08/05/2019
EP	11177	NYE11177.837IE.W.190806042642.001.DAT	08/06/2019	08/06/2019
EP	11177	NYE11177.837IE.W.190806103150.001.DAT	08/06/2019	08/06/2019
EP	11177	NYE11177.837PE.W.190801040517.001.DAT	08/01/2019	08/01/2019
EP	11177	NYE11177.837PE.W.190801054003.001.DAT	08/01/2019	08/01/2019
EP	11177	NYE11177.837PE.W.190801055734.001.DAT	08/01/2019	08/01/2019
EP	11177	NYE11177.837PE.W.190805040549.001.DAT	08/05/2019	08/05/2019
EP	11177	NYE11177.837PE.W.190805050633.001.DAT	08/05/2019	08/05/2019
EP	11177	T0901011177.PDPE.D.190801024108.001.DAT	08/01/2019	08/01/2019
EP	11177	T0901011177.PDPE.D.190802234517.001.DAT	08/02/2019	08/02/2019
EP	11177	T0901011177.PDPE.D.190803062733.001.DAT	08/03/2019	08/03/2019
EP	11177	T0901011177.PDPE.D.190804232259.001.DAT	08/04/2019	08/04/2019



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What to Expect During Testing

When will Testing Start?

- The OSDS system's project schedule currently allows for testing to begin in January 2020
- If the test environment is live prior to January 2020, the OSDS Project Team will evaluate the ability to provision testers to the environment ahead of schedule
- There is a shared interest in ensuring OSDS Data Submitters are given as much time to test and refine their process as possible

Testing Success Criteria

- Successful testing criteria is defined as being able to:
 1. exchange files with the OSDS;
 2. submit at least 6 files with 40 or more records having an acceptance rate of 90%; and
 3. to be able to process the associated response files
- Once the data submitter has successfully been certified for a transaction type, they will be approved to submit production files to the OSDS system for that transaction type

Testing Data

- In the OSDS system, a submitter will be able to submit test files using production data
 - Security in the test environment is equivalent to production
- For off-exchange commercial data submitters, an 834 X318 member file must be submitted prior to any 837 or NCPDP to enable the OSDS system to properly establish member enrollment information used for encounter member validation
- Test files cannot exceed 50 MB in size
- Further specification in Section 3.1.4 of the OSDS Data Submitter Companion Guide

Alpha Testing

- Advantages of being an Alpha Tester:
 - Opportunity to get feedback earlier in the process
 - Alpha testers have a stronger influence on processes if unanticipated issues arise
- Keep in Mind:
 - The environment is still being developed and tested
 - Errors will have to be identified as system related or data related
- Phases of Testing (Q4 2019)
 - I. EDI Registration Testing and Connectivity
 - II. 837 Testing and NCPDP Testing
 - III. 834 Testing
 - IV. Portal Testing

Want to be an Alpha Tester?

- Email the apd.osds@health.ny.gov
- Include in the Subject Line: Alpha Testing Request
- Include your organization's name
- Include transactions that you are ready to alpha test
- DOH will select a set of alpha testers that will support full system testing
- All alpha testers will need a fully executed Data Submitter Agreement (DSA)
- All alpha testers will need to go through EDI Registration Testing and Connectivity

Moving Toward Production

- At the start of testing in January 2020 and through April 2020, new and existing data submitters are expected to be production ready at cut over.
- Data submitters with off-exchange commercial lines of business are expected to have enrollment and encounter data from January 1, 2018 forward ready for production.
- Files submitted to the production environment prior to testing certification will be rejected
- As data submitters become certified, OSDS project staff will work with submitters on a production schedule



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Closing Remarks

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